



# SECURITY STAFFING ASSESSMENT

**South Carolina Department of Corrections**

*A review of thirteen Department of Corrections facilities to determine the required security staffing levels necessary to meet established responsibilities*

Submitted for the South Carolina Department of Corrections

Columbia, South Carolina

Tom Roth, Security and Detention Consultant

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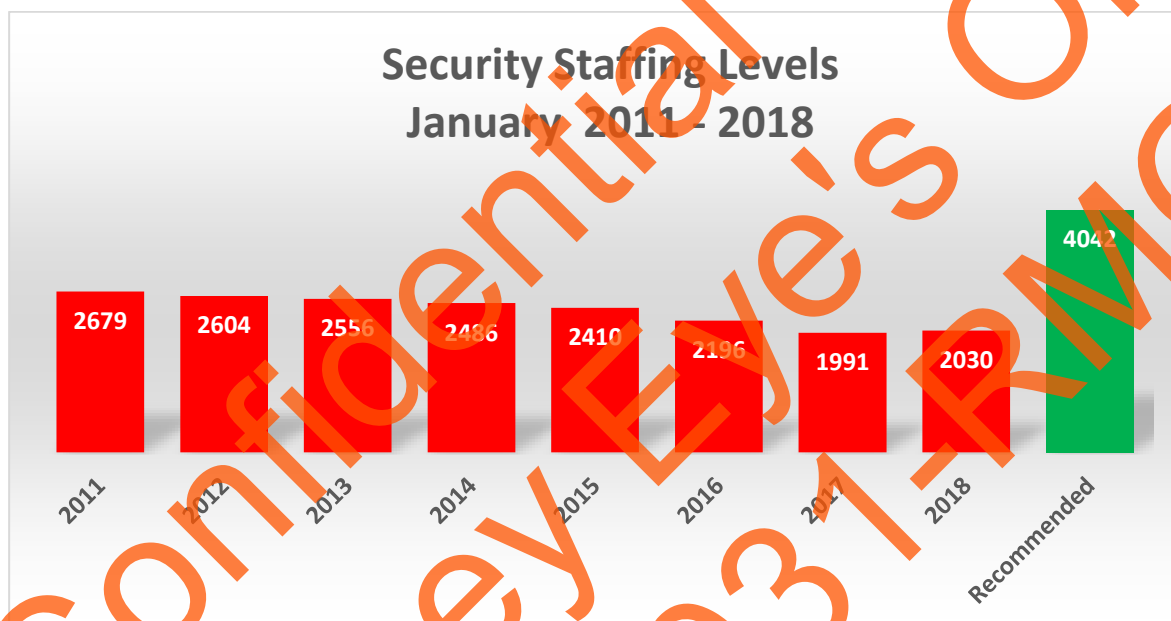
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## EXECUTIVE SUMMARY

Although the number of inmates within the South Carolina Department of Corrections (SCDC) has steadily dropped, the agency still faces a significant shortage in the number of security personnel available to meet the mission of the agency. The primary purpose of this project is to identify the recommended number of security staff necessary to meet existing responsibilities. The study indicates that for the thirteen institutions included in the review, a total of 4,042 security positions are being recommended. On January 1, 2018, there were 2,030 security staff assigned to the same facilities. The recommendations are reflective of establishing an effective level of security personnel for each institution in a manner consistent with individual institutional needs, professional industry standards and practices.



Security staffing levels have not been aligned with meeting established workload responsibilities for an extended period. This occurrence is not the result of a recent event or circumstance; however, has been an ongoing trend and only recently in the past two years been exacerbated by the growing number of alternative job opportunities available. Half of the thirteen institutions reviewed were operating with fewer than 50% of the security personnel needed, and not one of the institutions was operating at higher than 62%. On average the facilities were operating at 50.5% of the recommended staffing level.

Facility management personnel have had to deviate from the established staffing plan and implement initiatives to maintain minimum operations at each facility. These initiatives often result in higher operating costs, elevated turnover rates, assaults, and a reduction in services.

As front-line staff account for most of the overall security positions, they also account for most of the vacancies. Approximately 1,440 of the vacancies are in the front-line positions. This includes cadets, correctional officer I/II's and corporals.

<b>Recommended Security Staffing</b>			
<b>SECURITY STAFFING</b>	<b>RECOMMENDED</b>	<b>1/1/2018</b>	<b>DIFFERENCE</b>
<b>Level 3</b>			
Broad River	376	202	174
Lee	375	195	180
Lieber	355	159	196
McCormick	283	108	175
Perry	340	145	195
Kirkland	533	304	229
<b>Level 2</b>			
Ridgeland	215	109	106
Turbeville	292	164	128
Tyger River	350	147	203
Kershaw	263	152	111
Evans	261	121	140
<b>Females - Multi-Level</b>			
Leath	160	77	83
Graham	239	147	92
<b>Total</b>	<b>4042</b>	<b>2030</b>	<b>2012</b>

#### Employment Options.

Department executive personnel have recognized the staffing issue and have aggressively identified hiring and staff retention as a priority for the department. Efforts by the department have been both expansive and creative. All the traditional marketing methods have been used as well as applying methods beyond the norm. With the state and federal unemployment rates being in the 4.1% range at the time this report was prepared, a surplus of employment options are available for both potential candidates and existing employees seeking new opportunities.

The state of South Carolina and the Department of Corrections is not alone in this challenge. Within the past two years at least ten states have recognized the need to establish increasing incentives for state correctional staff by approving legislation resulting in a combination of pay raises, annual increases, comparable leave-time provisions, and sign-on bonuses. Compensation and incentives are steadily increasing on a national basis to commensurate with the duties associated with performing one of the more demanding responsibilities within state government.

For the department to have any opportunity to meet the staffing levels required to accomplish the established responsibilities of the department, legislative support and initiative is a requisite.

#### Scheduling and Staff Availability.

In the corrections industry it is critical to clearly identify the workload responsibilities to be met and to establish assignments designed to meet those responsibilities. In an industry where safety is paramount for both staff and inmates, the availability of sufficient personnel and the effective deployment of well-trained staff is essential to achieving the goal of successfully maintaining overall operations. When that does not occur the most common responses are:

- *Excessive overtime expenditures (The state pays more to get the same job done);*
- *Temporary curtailment of programs, services and treatment (Failing to meet the mission);*
- *Post assignments do not get filled (Safety); and*
- *Operational deficiencies are exposed to all concerned. Observed deficiencies often lead to perceived opportunities which can result in contraband, assaults and escape-related incidents.*

As part of the recommendation process, work schedules and the frequency in which staff are available to fill a post assignment were reviewed.

There are several different work schedule options to consider when deploying security personnel. The department follows the Federal Fair Labor Standards Act and state guidelines regarding work hours and overtime. South Carolina wage and hour laws are primarily adaptations of the federal laws. Established work periods and overtime thresholds have been defined to allow the most cost-effective schedules to be applied.

In comparing a 12-hour work schedule with a more traditional 8-hour schedule from an initial cost perspective, fewer staff are required to fill the same posts when applying the 12-hour schedule. Additional factors to be considered when choosing a work schedule include whether staff support the recommended schedule, the impact and ability to back-fill vacant assignments and the fatigue factor. The application of a 12-hour, (168 hrs.) work schedule is recommended. Staff would be scheduled to 168 hours per pay cycle.

A second element which influences the ability to meet workload responsibilities includes identifying the average number of hours staff are available to fill a post assignment. Shift relief factors were developed for each institution, by security level and as an overall average. Applying a shift relief factor is critical to determine how many full-time staff are needed to fill one post assignment throughout the year. The shift relief factors were based on average reported leave/off-post time for the most recent completed three-year period.

The following table provides a breakdown by institution of the revised shift relief factors when applying three different work schedules. The shift relief factor (SRF) represents the average number of staff required to fill one 24-hr. assignment throughout the year.

<b>SCDC Updated Shift Relief Factors - 2018</b>			
<b>Average 2015, 2016, 2017</b>	<b>8 Hour Shift 24/7 days (160 hrs.)</b>	<b>Straight 12 Hour Shift 24/7 days (168 hrs.)</b>	<b>Combined 10 hr./8 hr. (160 hrs.)</b>
<b>Institution</b>			
<i>Level 3</i>			
Broad River	5.45	5.03	5.88
Kirkland	5.56	5.12	5.98
Lee	5.56	5.13	5.99
Lieber	5.47	5.04	5.89
McCormick	5.67	5.21	6.11
Perry	5.45	5.03	5.88
<b>Average</b>	<b>5.53</b>	<b>5.09</b>	<b>5.96</b>
<i>Level 2</i>			
Evans	5.33	4.92	5.75
Ridgeland	5.49	5.06	5.92
Turbeville	5.57	5.13	6.01
Tyger River	5.35	4.94	5.76
Kershaw	5.41	4.99	5.82
<b>Average</b>	<b>5.43</b>	<b>5.01</b>	<b>5.85</b>
<i>Female</i>			
Camille Graham	5.46	5.03	5.88
Leath	5.56	5.12	5.99
<b>Average</b>	<b>5.51</b>	<b>5.08</b>	<b>5.94</b>
<b>Overall Average</b>	<b>5.49</b>	<b>5.06</b>	<b>5.91</b>
<b>Ten Posts - 24/7</b>	<b>54.9</b>	<b>50.6</b>	<b>59.1</b>

The table identifies the "Straight 12-Hour Shift" as the work schedule which results in the fewest number of staff to be required. Staff assigned are scheduled to work (168) hours in a 28-day cycle.

The remaining work schedules result in staff scheduled to work (160) hours in a 28-day period. After applying the additional 8-hours per pay-cycle, the straight 12-hour schedule remains initially the most cost-effective.

As noted, additional factors to be considered when choosing a work schedule should include whether staff support the work schedule, the impact and ability to back-fill vacant assignments and the associated fatigue factor.

Additional information derived from collecting the shift relief data for the three-year period includes:

- The average full-term security employee worked approximately (46) fewer hours in 2017 compared to 2015;
- The average full-term employee used (111) sick-leave hours in 2017. In 2015, an average of 87 hours of sick-leave was used;
- The average full-term security employee at McCormick used (146) hours of sick-time in 2017. The average at the remaining level 3 facilities was (107.8).

Shift relief data is inputted at the institutional level and managed by personnel from the Resource and Information System. Data is submitted for all full-term security staff and is not sorted based on work schedules. To determine whether staff assigned to one work schedule may result in less overall leave-time being used, the department may want to consider establishing a pilot-study.

#### Roster Management

The fundamentals of an operations-based roster management system are in place. The Division of Security has established a system that incorporates all the required elements to identify, deploy and track staff utilization. As staffing levels within the institutions decreased and personnel changes occurred, portions of the system began to breakdown. During the review period, post assignments identified as “mandatory” go unfilled, minimum staffing levels established by the department are no longer consistently being met, required full-shift post assignments are being filled intermittently and daily shift rosters have become less accurate.

Without the use of an effective roster management system it becomes extremely difficult to communicate the staffing needs to major stakeholders. As a result, the actual number of staff required for each facility becomes unknown. When staffing levels are operating at approximately 50% of the required level, the institutions are limited in what can be accomplished. However, staff can ensure shift schedules are balanced, deployment practices are prioritized, and accurate documentation is provided to reflect how staff are used. Daily shift rosters should be viewed as potential legal documents, that identify post assignment coverage.

A training curriculum should be developed to address appropriate roster management issues and to better prepare institutional personnel in how to properly maintain their roster management systems.

### Post Assignment Enhancements

Recommended staffing levels have been developed based on identified workload responsibilities for the thirteen institutions. Workload responsibilities were determined after considering the mission of each institution, applicable state and federal laws, national standards, best practices, SCDC policies and directives and the 2016 approved Mental Health Settlement Agreement (*T.R. V. South Carolina Department of Corrections*, No. 2005-CP-40-02925).

The results of the assessment reflect each institution requires significantly more security staff to meet existing responsibilities. A total 4,042 security positions are being recommended and on January 1, 2018, there were 2,030 assigned. Additional personnel are recommended for each institution and in every classification except for the "major" position. 68% of the recommended positions are considered front-line staff which includes cadets, correctional officer I/II's and corporals. The recommendations are based on each institution being fully operational including the use of housing areas and select posts not routinely being used.

The recommendations represent a combination of factors that include the following:

- A Shift Relief Factor (SRF) is applied to most post assignments to recognize the importance and potential impact of not meeting the associated workload responsibilities. The lack of applying a SRF, will result in not enough personnel being built into the roster, thereby increasing the probability that post assignments go unmanned.
- Additional security personnel are recommended for all inmate housing units. The workload responsibilities of a correctional officer assigned to a housing unit are expansive. Based on the everyday responsibilities of an officer and the activity levels of housing units, the current staffing practice is inconsistent with realistic expectations of what an officer can accomplish.
- Additional security personnel are recommended for each yard. Observed practices, supported by daily rosters reflected no yard officers, one officer and/or intermittent coverage is normally provided. It is an essential and fundamental correctional practice that security staff be available to conduct security checks throughout the facility, provide support, be available to monitor, control and authorize inmate movement and to serve as first responders.
- Additional individual post assignments are being recommended to meet existing workloads that are routinely being met by staff working overtime or not being met, and to address areas to be consistent with established policies and professional industry standards and practices. This includes:
  - Providing sufficient personnel for outside hospital coverage;



- Establishing institutional security compliance personnel;
- Recognizing the personnel requirements necessary to apply an integrated approach to the operations of residential mental health treatment programs;
- Providing medical escort/security coverage to ensure program and treatment services are provided as needed in a secure manner;
- Establishing a Front-End Sergeant position to address area responsibilities;
- Establishing Security Relief posts to meet established policies that require staff receive at least one 30-minute break each shift;
- Establishing a Field Training Sergeant position for each institution to assist in providing on-post mentoring, support and guidance; and
- Establishing a Security Captain position for each level 3 facility to coordinate, develop and enforce in-house strategies designed to enhance overall security within the facility.

#### Summary Statement

For the past several years the executive leadership team of the South Carolina Department of Corrections has explored most every option to effectively operate the institutions in a manner that is consistent with the mission of the agency. Due to staffing levels, existing human resources have been overextended, day-to-day operations have been streamlined, and program and treatment services have been curtailed.

There is simply not enough security staff assigned to effectively meet the established responsibilities on a consistent basis. Staff utilization patterns, alternative work schedules, condensed housing, enhanced physical plant security, and centralized programs and services have all been thoroughly examined and implemented to ensure the most cost-effective practices are being applied.

It is not a question of ineffective policies, inappropriate use of available resources or an executive leadership team that is not committed. Unless there is a dramatic decrease in the overall number of inmates housed within the facilities that would reduce the workload or a significant increase in staff, there will continue to be challenges to maintain an environment consistent with the department's mission.

The average overall staffing level of the (13) institutions was approximately 50 percent of the recommended level required to effectively meet the workload requirements. Most of the operational deficiencies cited in the report can be attributed in variable magnitudes to existing staffing levels.

## INTRODUCTION

### PROJECT BACKGROUND

In June 2017 representatives of the South Carolina Department of Corrections contacted the analyst regarding the feasibility of conducting a security staffing study of thirteen institutions within the South Carolina Department of Corrections (SCDC). Specifically, the expressed interest was to have an independent assessment conducted on security staffing positions and for staffing level recommendations to be established taking into consideration department policies, state and federal laws, national standards, recognized best practices, the mental health settlement agreement<sup>1</sup> and the mission of each institution. The primary goal was to identify the appropriate number of security staff required to efficiently operate each of the thirteen institutions.

Level 1-A, community-based pre-release centers, stand-alone work release centers, level 1-B minimum-security facilities and four level 2 SCDC institutions were not included in the project.

The scope of services required the staffing analysis to include developing shift relief factors for each institution as well as provide an analysis of current deployment practices based on existing resources.

Final approval for the project was received in September 2017 and the first of thirteen separate on-site facility visits occurred in September 2017. The thirteen facilities identified as part of the project included the following:

Institution	Location
<i>Level 3 Maximum Custody</i>	
Broad River	Columbia, South Carolina
Kirkland	Columbia, South Carolina
Lee	Bishopville, South Carolina
Lieber	Ridgeville, South Carolina
McCormick	McCormick, South Carolina
Perry	Pelzer, South Carolina
<i>Level 2 Medium Custody</i>	
Evans	Bennettsville, South Carolina
Kershaw	Kershaw, South Carolina
Ridgeland	Ridgeland, South Carolina
Turbeville	Turbeville, South Carolina
Tyger River	Enoree, South Carolina
<i>Female Multi-Level Custody</i>	
Camille Graham	Columbia, South Carolina
Leath	Greenwood, South Carolina

<sup>1</sup> T.R. V. South Carolina Department of Corrections, No. 2005-CP-40-02925.

To perform the work, the analyst submitted a list of requested documents, met with members of the executive staff and conducted initial interviews both at department headquarters and by telephone. Follow-up interviews and requests for additional documentation occurred throughout the duration of the project. At least one full day of an on-site assessment was conducted at each institution. While at the facility management personnel, supervisors and line staff were interviewed, post assignments were inspected, documentation was examined, and operational practices were observed. Follow-up contacts were made repeatedly throughout the project.

The observations, comments and recommendations contained in this report are based on the findings and professional judgement of the analyst, feedback received from nationally recognized peers in the industry, feedback from SCDC personnel, forty years of experience in the adult detention field, prior completion of over 100 correctional staffing assessments, and knowledge of industry standards and best practices.

The report represents the completion of a “security staffing assessment” of thirteen institutions and should not be considered an audit or system-wide operational review. The use of professional audit standards for documentation review was not requested and a comprehensive review of all operational practices was outside the scope of the project.

## METHODOLOGY

To address the goals and gain an improved appreciation for the recent history and current impact security staffing levels were having on institutional operations, three primary components were applied: Documentation Review, Staff Interviews and On-Site Assessments.

Document Review. In September 2017 a document and data request for materials pertinent to the project was submitted. SCDC was extremely responsive to the request and has continued to be supportive throughout the project. Documents requested and reviewed included in part the following:

- Applicable Department of Corrections policies that identified staff-related requirements, conditions of employment, coverage and responsibilities;
- Post Orders describing expected staff responsibilities for specific post assignments;
- Security staff overtime usage reports;
- Completed daily shift rosters from each institution and each operating shift;
- Post Charts identifying the department recognized security staffing requirements for each institution;
- Security staffing levels by position classification;

- Approved staff funding level by position classification;
- Inmate profile demographics;
- Established mission and profile of each institution;
- Security staff use of benefit-time and training data;
- Number of staff assigned to inmate transportation and the frequency of the same;
- Security staff workload responsibilities at outside hospitals;
- The applicable Mental Health Settlement Agreement;
- Mental Health Implementation Panel Reports;
- 2017 SCDC Mock PREA Audit Results;
- Number of lock-down days due to staffing levels;
- Starting and average salaries by position classification; and
- Assault and contraband related incidents by institution.

Interviews. For a better understanding of the data collected and clarification on the responsibilities and mission of each facility, staff were interviewed including both central office personnel and personnel assigned to each institution. The primary purpose was to gain a more in-depth understanding of both the day-to-day and operational management issues underlying the data collected.

On-Site Assessments. Prior to arriving at each institution, telephone contact was initiated, and an email was sent to each warden advising them of the purpose of the upcoming site visit. A request for additional documentation was submitted and valuable feedback was gained pertaining to staffing related issues.

Each warden, when available was interviewed at the start and end of the on-site assessment. If the warden was not available an associate warden was contacted. During most assessments the warden or associate warden accompanied the analyst during part or all the assessment.

The on-site assessment included reviewing requested documentation, observing ongoing institutional operations, interviewing staff, inspecting the physical plant, and examining post assignments and their associated responsibilities. Follow-up telephone calls were made to most institutions to clarify pending issues.

Initial staffing recommendations were developed based on using the following standards:

- Post assignments are established in accordance with the goals of maintaining effective security;
- Post responsibilities are completed by personnel in the appropriate position classification;
- The level of staff deployment is consistent with inmate classification levels, programs, services and treatment requirements;
- Staff deployment levels correspond with meeting established workload responsibilities;
- Staff deployment levels allow for staffing requirements and inmate services to be provided according to established SCDC policy;
- Post Orders for each assignment are documented and well-defined;
- Security supervisors are available to provide guidance and support as needed;
- Post assignments are staffed by a certified employee if during normal operations there is regular contact with inmates;
- Staff assignment practices are flexible enough to deploy personnel as needed to respond to changing demands throughout the institution while maintaining post assignment security;
- Staff deployment patterns are based on established workload responsibilities and properly balanced between shifts;
- Application of a cost-effective work schedule;
- Overtime utilization is held to a minimal level required to perform critical operational functions; and
- Staff deployment levels take into consideration the on-going activity schedule, inmate classification, availability of security enhancement equipment, electronic surveillance and the overall integrity of the physical plant.

Applying these standards, staffing recommendations were then developed based on each institution being fully operational, including staffing housing areas and select perimeter towers that may have been closed during the review period.

## SECURITY STAFFING PROFILE

Security staffing levels in most of the institutions have been a critical concern for an extended period. To accomplish the goal of identifying the number of security staff required to effectively operate each institution, a review of current and recent staffing trends was initially completed for the thirteen institutions.

SCDC personnel made available security staffing level data for the period of January 2011 through January 2018. Results reflected staffing levels for every institution except for one had dropped significantly. The Camille Graham Correctional Institution had (7) additional staff on January 1, 2018, compared to January 1, 2011. Workload responsibilities at Graham changed in 2015-2017 to include the operations of a work-release program, crisis stabilization unit, expanded intermediate care services, and to provide inmate hospital coverage at the Palmetto Richland Memorial Hospital. Each added responsibility required additional personnel.

The remaining twelve institutions were operating at an average of approximately 74% of the staffing level that was available in January 2011. The levels at that time were considered less than optimal as facilities were operating on average at approximately 88% of the **department authorized strength**. The “authorized strength” is the department recognized number of security staff required to operate each facility in a safe manner.

At no time during the period of 2011 through 2017 were security staffing levels considered optimal. Institutions modified daily operations based on available staffing and the mission of each facility. Modifications often included deviating from established policies and adjusting on-going practices to maintain minimum operations. Unfortunately, those adjustments often lead to potentially dangerous situations. The job responsibilities for most security staff have expanded to the point where only the basic duties are routinely completed. When this occurs, staff spend a greater portion of their day responding, reacting, and recovering and less time preparing, preventing and providing.

Department executive personnel have recognized the concern and have aggressively prioritized hiring and staff retention for the department. In calendar year 2017 the department reported 1,052 new (JD30) hires which includes cadets, correctional officer I's and II's.

In the six previous years the department averaged 835 new (JD30) hires each year. Despite the 1,052 new (JD30) hires in 2017, the total number of security staff identified on January 1, 2018, for the thirteen institutions increased by only (39) compared to January 1, 2017. Staff retention in the security ranks appears to be a major issue within the department.

The following chart identifies reported security staffing levels for the thirteen institutions on January 1 of each corresponding year. Staffing levels on those dates have gone down every year except for the most recent, 2018. Also identified in the chart is the total number of security staff recommended to meet established responsibilities based on each institution being fully operational.



As noted, the number of security staff available has been an ongoing concern. During the two most recent completed years, 2016 and 2017, the levels have reached a point where several institutions are operating with fewer than 50% of the security personnel recommended to meet their mission. Specific institutions operating at 50% or lower include: Lieber, McCormick, Perry, Tiger River, Evans and Leath. Percentages range from 38% to 48%. None of the thirteen institutions had been operating at 62% or higher compared to the recommended level. The practice of operating institutions with insufficient security staffing levels has become the norm and not to be considered the results of a recent phenomenon. The deficient staffing levels have impacted daily operations for an extended period and appear to have gotten worse over the past three years.

Efforts by the department to attract potential new hires in the recent years have been expansive. Traditional methods including the use of social media, job fairs, partnerships, state websites, and different forms of marketing are all being used. In addition, applicant qualifications have been revised to increase potential candidates, monetary incentives have been established including providing stipends for employees who refer applicants that remain employed for a minimum period, two separate pay increases have been approved for officers, and legislative bills have been submitted for additional increases.

Security staff reported they had not previously received a pay raise in over fifteen years prior to the recent increases and are currently not eligible to receive an annual merit or cost-of-living increase.



With the state and federal unemployment rate being in the 4.1% range at the time this report was prepared, employment options for potential candidates and existing employees looking for new opportunities appear to be readily available.

A review of six of the larger South Carolina county jail websites reflected they were all currently soliciting applicants to fill detention officer positions in their jurisdictions, some of which reported higher starting salaries than the SCDC.

### National Trends

Identifying incentives to attract qualified applicants is not just a local concern but also a national concern. In the past year the following states have been actively initiating additional incentives for correctional officers:

- West Virginia legislatures approved a \$2,080 annual pay raise for staff, removed the cap on use of annual leave-time, and submitted a bill that would increase an officer's pay \$2,000 a year over each of the next three years;
- Arkansas legislature approved raising the hazard pay 4% for staff assigned to four institutions;
- Corrections officers hired at the Kentucky Correctional Psychiatric Center and Central State Hospital received a 13% percent increase over the previous entry salary;
- TDCJ (Texas) raised pay for correctional officers by 12.6% and provide a \$4000 sign-on bonus with stipulations;
- Maryland Department of Public Safety and Correctional Services is offering new correctional officers \$5,000 in financial incentives to join the department. This includes \$2,000 when a candidate completes training and an additional \$3,000 after successful completion of a one-year probationary period;
- Alabama legislation has been submitted to increase pay raises for correctional officers working in high risk areas;
- Kansas increased pay for all uniformed corrections staff by 5% and for staff assigned to a high-risk facility by 10% in 2017;
- Oklahoma legislatures have approved a 5% across the board pay raises for correctional officers; and



- Florida increased minimum salaries for the correctional officer series, increased salaries by 10% for certified officers assigned to mental health units and provided \$1,000 bonuses for institutions with a vacancy rate that exceeds 10% during the preceding quarter.

Several agencies across the nation are experiencing a staffing shortage just like South Carolina. In a competitive labor market attracting qualified candidates to meet the operational needs of the department is a serious challenge and one that requires both resourcefulness and support. The offering of more competitive incentives to initially attract potential candidates has been widespread in the industry over the past two years.

States are looking for ways to be more competitive and should be, as starting salaries have historically been low and not commensurate with the duties associated with such demanding positions. The state has a legal obligation and to meet this obligation sufficient personnel resources are essential.

#### OPERATIONAL INITIATIVES IN RESPONSE TO STAFFING LEVELS

In view of the staffing levels, facility management personnel have had to deviate from the established staffing plan and implement several initiatives to maintain minimum operations at each facility. Oftentimes these initiatives result in higher operating costs, great turnover rates, assaults, a reduction in access to basic services, and limited self-improvement opportunities for the inmate population.

The most common initiatives include the following:

- **The facility is placed on full or partial lockdown to limit inmate movement outside the cell and reduce overall workload.** During the first eleven months of calendar year 2017, institutions were placed on lock-down anywhere from (10) to as many as (350) times due to reported staff shortages. It was common during an on-site assessment to learn that the institution was placed on lock-down status immediately before or after the evening meal. One institution reported they routinely went on lockdown daily after 2:00 pm. This practice was initiated to maintain safety by limiting mass movement and out-of-cell time. This practice also limits inmate access to programs and services during those periods. Based on staff reports this initiative often leads to increased tension throughout the facility;
- **Staff responsibilities are expanded beyond the established post order.** Each post assignment includes a written post order that describes the normal responsibilities associated with the post assignment (OP-22.24)<sup>2</sup>. Under normal circumstances security staff are responsible for one post at a time. There were staff at every institution that were assigned to more than one post assignment, i.e. courtyard, housing units, cafeteria.

<sup>2</sup> SCDC Policy OP.22.24 Post Orders.

As a result, basic operating practices are impacted most notably in the frequency of regular cell inspections, building and area inspections, pat-down searches, engaging in pro-active security measures, developing and maintaining a professional rapport, and the overall supervision of the inmate population. Such practices often result in fewer inmate escorts, delays and or cancellations in program and service delivery, and contraband remaining undetected;

- **Staff are augmented to leverage existing personnel resources.** The highest number of vacancies at each institution was in the front-line positions. This included cadets, correctional officer I's and II's and corporals. Front-line staff have the most direct contact with the inmate population. To fill vacant front-line post assignments personnel from outside those positions are frequently used limiting their ability to perform their own assignments. This may include sergeants, lieutenants, captains or civilian staff that may have been certified in the past. The use of augmentation generally results in existing work responsibilities not being completed while other responsibilities are often completed by staff who may not be as familiar with current practices, activity levels, recent trends or challenges;
- **Mandatory post assignments are filled intermittently.** The Division of Security developed a post chart as a guideline to identify post assignments required to be filled and when they were to be filled. Due to staffing levels, existing operational practices frequently result in all posts not being filled, and staff intermittently filling a post assignment. The practice of intermittently filling post assignment is wide-spread. Instead of a post being filled for an entire shift as recommended or not being filled at all, post assignments were being filled temporarily for brief periods. Sample daily rosters cited several occasions where an individual was assigned to multiple posts at the same time in different areas of the institution;
- **Staff assigned to 8 or 12-hour shifts do not consistently receive meal breaks.** Most staff assigned to the shifts rarely receive a recognized break from their post assignment. Federal (Fair Labor Standards Act) and state labor laws do not require the employer to provide a meal period or break to employees; however, SCDC policy does.

*SCDC Policy ADM-11.21 Regular Working Hours and Overtime cites in section 1.1 states: The official work schedule for security positions will be either 1.1.1 eight (8) hour shifts or 1.1.2 twelve (12) hour shifts on a 28-day cycle, including at least one 30-minute meal period each shift.*

A combination of long hours, extra hours and additional responsibilities have been reported as key factors leading to fatigue, lack of motivation, turnover and staff becoming less vigilant. Providing no breaks only exacerbates the issue;

- **Front-line security staff assigned to a 40-hour work week are routinely scheduled to work extra hours to assist both on weekends and after their shift, Monday thru Friday.** To supplement existing staffing levels, staff normally scheduled to work an 8-hour shift stay after their shift to assist in evening meal delivery, lock-up and/or filling weekend post assignments such as inmate visitation;

- **Security personnel from alternative institutions are used to fill post assignments often at an overtime rate.** Security personnel from other SCDC institutions are frequently used at several institutions to fill post assignments;
- **Post Assignments go unfilled.** A review of daily shift assignment rosters from July 2017 through December 2017 reflect all post assignments in the housing units, escort positions, yard, cafeteria and education are frequently not being filled. When the posts are not filled, all the responsibilities associated with the post are usually not met;
- **Staff initially not scheduled to work are frequently required to fill vacant post assignments beyond their normal work schedule.** Overtime expenditures<sup>3</sup> identified for the (13) institutions in December 2017 had increased by approximately 42% from expenditures reported for December 2016. This did not include the GAP hours which include the (11) extra hours that can be worked in a pay cycle at straight-time. Facility management personnel reported overtime was primarily the result of personnel filling vacant required post assignments, fewer FLS staff being available, staff staying after their shift to fill an assignment, expanded responsibilities and to attend required training during their scheduled off-time. Overtime is not automatically considered a poor reflection of an existing staffing plan; however, excessive overtime can lead to job dissatisfaction, employee ineffectiveness and high rates of turnover. For the December 2017 pay cycles a total of (41) staff were identified as having worked 80 or more overtime hours during the 28-day cycle. Overtime expenditures appeared not only to be rapidly increasing but excessive;
- **Personnel are often compensated at an overtime rate to complete required staff training.** Uniformed security personnel are routinely scheduled to complete required training on their off-days resulting in additional overtime expenditures. Due to limited staffing levels and the unavailability of staff to back-fill post assignments, staff are required to remain on their post and attend mandatory training on their off-day at an overtime rate;
- **Staff assigned to the 12-hour shifts are routinely scheduled to work a minimum of 168 hours in a recognized 28-day pay cycle.** Initial Department policy was to provide staff assigned to the 12-hour shifts, 8 hours off per pay cycle, to maintain the (160) hour work schedule. Due to limited staffing, this practice was no longer occurring, and staff are scheduled to work the additional hours;
- **Closed Multi-Purpose Building.** The multi-purpose building at a few of the institutions were closed and unavailable for inmate use due to the lack of staff;
- **Out of Cell recreation is not consistently being offered in all restricted housing units.** Based on staff interviews and a review of available documentation, all inmates assigned to the Restricted Housing Units do not consistently receive access to recreation outside their cells as required<sup>4</sup>.

<sup>3</sup> SCDC pay codes, 1265 and 1266 for pay cycles 23/24.

<sup>4</sup> SCDC Policy OP-22.38, Restricted Housing Unit.

Personnel reported the lack of staff and additional responsibilities associated with the post assignment prevented personnel from consistently providing inmates access to recreation;

- **Meals served in Housing Units.** The controlled movement schedules for several institutions have been modified to serve one or two meals in the housing units per day instead of moving the inmates to the dining halls which requires additional supervision. Most institutions that applied a movement restriction impacted one meal; however, one institution reported two meals were being provided in the housing units per day;
- **A “Tier Management” Schedule has been developed to limit inmate movement.** Tier Management is implemented at several institutions limiting the number of inmates out of their cell at one time. This results in half the inmates remaining in their cells (Upper Tier or Lower Tier) instead of having all the inmates assigned to the wing allowed into the dayroom area;
- **Inmate services are limited in the Restricted Housing Unit.** Based on staff interviews and documentation review, the three showers per week for inmates assigned to all the Restricted Housing Units as required by policy<sup>5</sup> are not consistently being provided. Personnel reported the lack of sufficient staff and the additional responsibilities associated with the post prevented personnel from consistently providing inmates access to showers three times per week;
- **RHU wellness checks are not always completed in a manner consistent with policy.** SCDC operational policy, OP-22.38, Restrictive Housing Unit states the following: *Correctional Officers assigned to the RHU will be required to conduct security checks and to personally observe each inmate at least every 30 minutes on an irregular, unannounced schedule. The time of each security check will be recorded in the RHU permanent log book and SCDC Form 19-7A, “Cell Check Log.”*<sup>6</sup>  
There was no consistent evidence in several log books to indicate 30-minute checks were being completed on a regular basis at all the institutions;
- **12 hr. shift supervisory personnel routinely work 14-15 hr. days.** To meet responsibilities, shift supervisors routinely arrive prior to the start of their shift. Supervisors are required to do the following: review staff availability; facility schedules; overall workload; manage the shift and remain after their shift is normally over to ensure effective communication and staff coverage. Shift supervisors are considered exempt employees and are not eligible for overtime and lose select earned benefit-time if not taken within 90 days;
- **Inmate family and friends (social) visits are occasionally cancelled due to insufficient staffing levels.** Due to limited staffing levels social visits are occasionally cancelled due to lack of security personnel to provide site supervision and appropriate searches; and

<sup>5</sup> SCDC Policy, OP-22.38, Restricted Housing Unit.

<sup>6</sup> SCDC Policy OP-22.8 Restrictive Housing Unit, 14.

- **Outside medical appointments are routinely re-scheduled or cancelled due to limited transport security personnel.** Facility medical administrative personnel reported scheduled medical appointments outside the facility are frequently not being provided due to limited transport security personnel. Staff reported they routinely re-schedule or triage appointments based on available security transport personnel.

*Serious consideration should be given to formally recognize a “dusk to dawn” movement policy at each institution, for all non-programming housing units, until staffing levels can be aligned with meeting established workload responsibilities. Allowances should be made to accommodate individual medical needs and showers when properly staffed.*

### **SHIFT RELIEF FACTOR (SRF)**

National best practices reflect one of the most widely accepted methods used to determine appropriate staffing levels is to: identify workload responsibilities; the position classification needed to meet those responsibilities and the frequency in which those responsibilities are to be met.

In the corrections industry it is critical to clearly identify the workload and to establish post assignments designed to meet those responsibilities. In an industry where safety is paramount for both staff and inmates the availability of sufficient personnel and the effective deployment of well trained staff are essential to achieving the desired goal of successfully maintaining overall operations. When that does not occur the most common responses to this concern are:

- *Excessive overtime expenditures. (The state pays more to get the same job done);*
- *Temporary curtailment of programs, services and treatment; (Failing to meet the mission);*
- *Key post assignments not being filled. (Safety); and*
- *Operational deficiencies are exposed. Most inmates are observant. Observed deficiencies often lead to perceived opportunities which can result in contraband, assaults and escape-related incidents.*

As part of the process of identifying recommended staffing levels, interviews with senior staff members were conducted to determine how current recommended staffing levels were decided. Command staff reported post assignments are initially identified by veteran command personnel from the Division of Security based in part on feedback received from executive staff and facility personnel. Once identified, the post assignments are then added to an institution “post chart”. As workloads change or the mission of the facility changes adjustments may be made to the “post chart”. After the post assignments have been identified a shift relief factor may be applied.

**The shift relief factor (SRF)** represents the average number of staff required to fill a post assignment throughout the year. The SRF is based on the number of hours the post needs to be filled divided by the number of hours the average employee assigned to the post is available. **Applying a SRF is critical in identifying how many full-time staff are needed to fill one post assignment throughout the year.**

Each institution operates 24 hours per day. Given that employees have regularly scheduled days off, are scheduled to work between (8) and (12) hours per day, take vacations, utilize sick time, etc., staffing any given post throughout the year requires more than one staff member. The SRF recognizes the use of employee leave and off-post time which results in staff not being able to fill a post assignment.

When the average number of staff available hours are combined with a post assignment, the established SRF provides the opportunity to advance from the number of personnel needed for one day to the average number of personnel needed to operate the institution year-round. At no time should a shift relief factor be considered a reflection of surplus staff, as it is a fundamental component necessary to identify required staffing levels.

SCDC shift relief factors are maintained by personnel assigned to the Research and Information Management Division (RIM). Staff attendance, training and leave-time data from each institution is entered in to a department recognized electronic data base that allows RIM personnel to apply the information received into an automated pre-established formula that can identify a shift relief factor. The SRF calculation is based on scheduled hours, actual leave-time, and reported off-post assignment time for staff who were at the institution during the entire year. Refer to Appendix A for the detailed formula used to determine shift relief factors.

One concern with the shift relief factor, is that the information received from the institutions is not separated based on employee work schedule. To determine whether staff assigned to one work schedule results in less benefit-time being used was not possible based on how the data was collected. Currently, all employee leave-time data is submitted without reference to assigned work schedule. The department may want to consider establishing a pilot-study if alternative shift schedules are ever considered.

A second concern is how holiday-time is calculated. All employees receive (13) holidays per year. If non-exempt staff do not use the holiday-time within (90) days, they are paid for the holiday-time. Exempt staff lose the holiday-time if not used within (90) days.

Holiday-time in the shift relief factor formula is calculated based on all staff using the (13) days off. This may not be the case. Serious consideration should be given to track holiday-time resulting in time off work compared to holiday-time paid.

Overall, the department has established one of the better SRF tracking and calculation systems. The SRF workbooks have been set up to allow the user to specify the hours per shift and as a result, the spreadsheet will automatically recalculate SRF accordingly. The system has been in place for an extended period and is easy to use and managed by professional personnel.



Many jurisdictions do not track leave/off-post time. In this report, relief factors have been developed for each institution, by custody level and as an overall average when applying several different work schedules.

The data used to establish a SRF is collected continuously throughout the year and maintained on an annual basis.

For this project, the shift relief factors developed were based on the three most recent completed years. This included calendar years 2015, 2016 and 2017. Previously in the post charts the department was using a shift relief factor based on data received in 2011.

The purpose of evaluating leave and off-post data from the past three years instead of one year minimizes the chances the SRF will be influenced by one or more unusual factors or outliers. For example, leave time and off-post data reflected outliers may have negatively skewed the results if only one year was used. In the following table a few outliers are identified.

The numbers reflected in the table represent the average number of days a full-term security employee was not available to fill a post assignment based on the identified type of leave or off-post time listed.

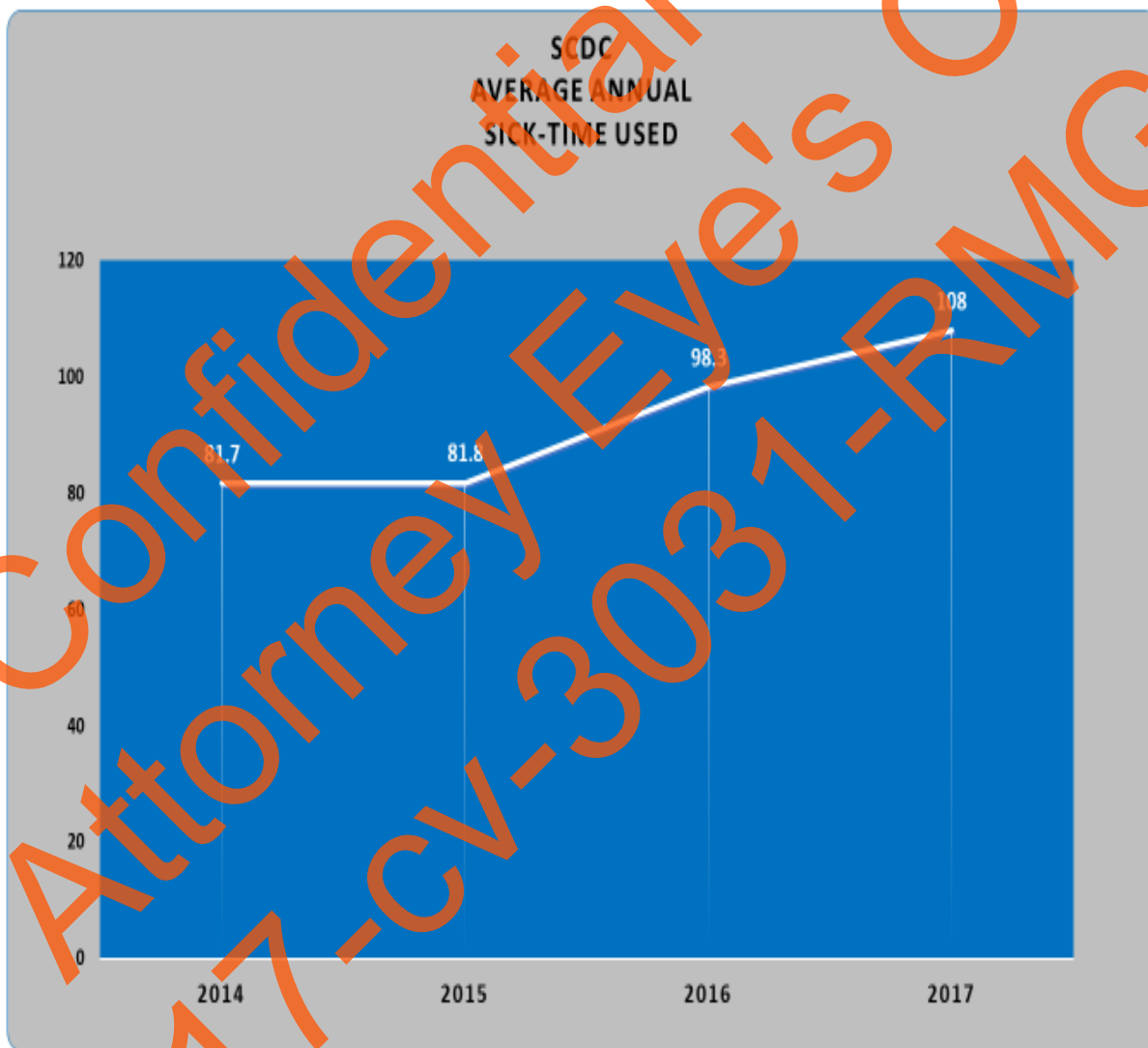
<b>SRF Outliers</b>			
<b>Average 8-hr Days</b>	<b>2015</b>	<b>2016</b>	<b>2017</b>
	<b>DAYS</b>	<b>DAYS</b>	<b>DAYS</b>
<b><i>Camille Graham</i></b>			
<b>Sick-Leave</b>	<b>9.7</b>	<b>9.73</b>	<b>13.85</b>
<b><i>Broad River</i></b>			
<b>Sick-Leave</b>	<b>6.78</b>	<b>13.18</b>	<b>12.38</b>
<b>Other (Military, Injury, Unexcused, etc.)</b>	<b>1.95</b>	<b>6.74</b>	<b>2.33</b>
<b><i>Evans</i></b>			
<b>Sick-Leave</b>	<b>7.56</b>	<b>8.85</b>	<b>11.12</b>
<b>Other (Military, Injury, Unexcused, etc.)</b>	<b>1.86</b>	<b>6.5</b>	<b>8.37</b>
<b><i>Kershaw</i></b>			
<b>Sick-Leave</b>	<b>8.69</b>	<b>10.49</b>	<b>14.9</b>
<b>Annual Leave (Vacation)</b>	<b>10.61</b>	<b>9.49</b>	<b>13.01</b>
<b><i>Perry</i></b>			
<b>Sick-Leave</b>	<b>8.74</b>	<b>10.4</b>	<b>14.38</b>

The common theme identified in the outliers table reveals employee use of sick-time at the identified institutions, significantly increased during 2016 and 2017 in comparison with the previous year.

At Kershaw, for example, the average full-term security employee used over (4) additional 8-hour days of sick leave (14.9 v. 10.49) in 2017 compared to 2016 and (6.2) more days than in 2015.

An increase in use of leave-time often results in an increase in the number of posts not being filled, increase in overtime expenditures, and an increase in the number of facility lock-down days due to staffing.

In 2017, the average full-term security employee worked (22) fewer hours when compared with 2016 and (46) fewer hours than in 2015. Not only are there fewer staff, the staff that are assigned, are available for fewer hours. The expanded use of sick-time is a primary factor resulting in the reduction of total work hours. Applying the appropriate shift relief factor and monitoring the results is critical in identifying the number of staff needed to fill most post assignments throughout the year.





**Existing Post Charts.** In reviewing the post charts established by the department, a shift relief factor is applied to a select number of posts; however, not all the post assignments. The shift relief factor applied was based on 2011 data taking into consideration staff turnover rates, personnel being assigned to (160) hours in a 28-day cycle and working either an 8-hour or 12-hour schedule.

As staff turnover rates at some institutions started to exceed 40%, the value of applying a turn-over rate allowance to determine required staffing levels diminished. In this project, stakeholders expressed an interest in knowing how many staff are required to meet existing responsibilities when fully operational. There was not an interest in knowing how many staff are required to meet responsibilities when there is a 30%-50% turn-over rate. Turn-over rates are currently extremely fluid, and the department is aggressively initiating efforts to reduce those rates.

The existing department post charts primarily include a shift relief factor for seven-day front-line posts. These are posts required to be filled seven days per week by front-line staff (cadets, officers, corporals). The post charts do not identify a shift relief factor for any supervisor post assignments and very few of the five-day front-line posts. As a result, when staff assigned to those post responsibilities become unavailable very few if any personnel are available to back-fill the post assignment. Posts are then closed, responsibilities may not be met, or a combination of options are applied: staff are assigned to more than one post, staff work extra hours or are augmented into the assignment. Based on observations these practices were occurring on a routine basis at each of the institutions. When a required post is not consistently being staffed, the more labor intensive or difficult responsibilities are usually not being met.

All post assignments do not require a shift relief factor; however most do. In some circumstances there are posts that may not warrant a relief factor based on the responsibilities associated with the assignment. For example, the contraband control/intelligence post is often considered an information-sensitive post assignment. A specific skill-set and training is required. The processing of sensitive information and material is routinely part of the post responsibilities. This post is normally considered a non-relief post. Staff training, grounds maintenance and environmental health and safety posts require a specific skill-set and may also be considered non-relief posts. However, most post assignments should include a shift relief factor to recognize the importance and potential impact of not meeting the associated workload responsibilities. The lack of applying a SRF or the use of a relief factor that is too low will not build enough recommended personnel into the roster, thereby increasing the probability that core posts go unmanned.

Due in part to the lack of shift relief factors being applied for many of the post assignments, the department recognized post charts significantly underestimate the number of staff needed to meet existing workload responsibilities.

**Updated Shift Relief Factors.** In the following table, updated shift relief factors have been developed for each institution based on average leave and off-post data collected for a three-year period. The data provided was then applied to different work schedules. Two of the shift schedules represent schedules that were being used at the institutions during the review period.

This included the, “8-hour shift” and the “Straight 12’s - (168 hrs.)”. In addition, one additional 24-hr. alternative schedule is presented for comparison purposes.

To better appreciate the data, a table has been created to illustrate shift relief factors when applying separate work schedules. A shift relief factor of 4.99 (Kershaw, *straight 12’s*) can be translated to mean it will take an average of five (4.99) staff to fill one post assignment seven days per week, 24-hours each day.

The table identifies the institution and the corresponding shift relief factor when applying different work schedules. SRF averages are additionally presented by custody level and as an overall number for all thirteen institutions.

The table reveals the work schedule that would require the least number of staff to fill ten 24-hour post assignments would be the “Straight 12’s - (168) hrs.”. This was the prominent shift schedule that was being used, by default, at each institution. Staff were normally being scheduled to work (168) hours in a 28-day work period. Based on the SRF, approximately (50) staff are required to fill ten 24-hour post assignments. Initially department personnel reported that the original intent was for staff assigned to the 12-hour shift to be provided (8) hours off per pay cycle to maintain the (160) hour schedule. Based on institutional responsibilities and the number of staff available this practice had not been occurring on a consistent basis. The actual schedule normally being applied, resulted in each staff member being assigned to work (14) 12-hour shifts per 28-day work period ~~without~~, the additional (8) hours off per pay cycle.

Staff are compensated at straight time for working the additional (8) hours which is consistent with the Fair Labor Standards Act (FLSA), 7k overtime exemption<sup>7</sup>.

In comparison, the other shift schedule options were all based on staff being scheduled to work (160) hours in a 28-day work period. As a result, additional staff would be required to fill the same ten 24-hour post assignments. As noted, some of the work schedules were more staff intensive than others.

<sup>7</sup> 29 U.S.C. Section 2017(k) 553.230, 553.211.

<b>SCDC Updated Shift Relief Factors - 2018</b>				
<b>Average 2015, 2016, 2017</b>	<b>8-Hour Shift 5-days</b>	<b>8 Hour Shift 24/7 days (160 hrs.)</b>	<b>Straight 12-Hour Shift (168 hrs.)</b>	<b>Combined 10-hr./8-hr. (160 hrs.)</b>
<i>Level 3</i>				
Broad River	1.3	5.45	5.03	5.88
Kirkland	1.32	5.56	5.12	5.98
Lee	1.32	5.56	5.13	5.99
Lieber	1.30	5.47	5.04	5.89
McCormick	1.35	5.67	5.21	6.11
Perry	1.3	5.45	5.03	5.88
<b>Average</b>	<b>1.32</b>	<b>5.53</b>	<b>5.09</b>	<b>5.96</b>
<i>Level 2</i>				
Evans	1.27	5.33	4.92	5.75
Ridgeland	1.31	5.49	5.06	5.92
Turbeville	1.33	5.57	5.13	6.01
Tyger River	1.29	5.35	4.94	5.76
Kershaw	1.29	5.41	4.99	5.82
<b>Average</b>	<b>1.30</b>	<b>5.43</b>	<b>5.01</b>	<b>5.85</b>
<i>Female</i>				
Camille Graham	1.3	5.46	5.03	5.88
Leath	1.32	5.56	5.12	5.99
<b>Average</b>	<b>1.31</b>	<b>5.51</b>	<b>5.08</b>	<b>5.94</b>
<b>Overall Average</b>	<b>1.31</b>	<b>5.49</b>	<b>5.06</b>	<b>5.91</b>
Ten Posts 24/7	NA	54.9	50.6	59.1

Source: SCDC RIM

The following additional information can be derived from the SRF table:

- The average shift relief factors for level 3 (maximum custody) institutions is slightly higher (5.09) than the average for the level 2 (5.01) and female institutions (5.08). The average full-term security employee at a level 3 facility used approximately six additional sick hours than the average level 2 security employee;
- McCormick CI had the highest 12-hr. SRF, (5.21) and Evans CI had the lowest (4.92). The average full-term security employee at McCormick used more sick-time during the three-year period than at any other facility. The average full-term security at Evans used the least amount of sick-time. McCormick staff averaged (130) hours and Evans averaged (73) hours;

- A SRF of 5.06 indicates it will take an average of 50.6 staff to fill ten 24-hour seven-day post assignment throughout the year;
- A SRF of 5.06 indicates the average security officer is available to fill a post assignment approximately 79% of the time they were originally scheduled, when working a (168) hour schedule. *(# of hours per year/SRF)/ (scheduled work hours)*. The overall average shift relief factor when applying the straight 12-hr. schedule is 5.06;
- A SRF of 5.49 indicates it will take an average of 54.9 staff to fill ten, 24-hour seven-day post assignments throughout the year. The overall average shift relief factor when applying an eight-hour schedule is 5.49;
- A SRF of 5.49 indicates the average security officer is available to fill a post assignment approximately 76.7% of the time they were originally scheduled (160) hour schedule; *(# of hours per yr./SRF)/ (scheduled work hours)*; and
- The Combined 10/8 (160) hour schedule has staff on one shift working four 10-hour days and staff assigned to two shifts working five 8-hour days. This results in an overlap of staff between multiple shifts, and approximately 8.5 more staff are required to fill ten 24-hr. post assignments, then when using the “straight 12’s – (168) hrs.”.

**Comment: Develop additional Internal Data Bases for the Collection of Off-Post and Leave Data:**

- *Current practice is for institutional personnel to input staff training hours into the central office electronic data base as part of the shift relief factor program. This data is reported as off-post time based on staff being pulled from a post assignment to attend training. Ideally, this is a preferred practice. Each institution reflected most staff training was conducted during the employee’s off-day and not during their scheduled work-day. Consideration should be given to notify institutions to identify whether training reported is completed while on shift, after their shift or during their off-day;*
- *Current practice is to report all earned holiday-time (13 days) as time off-duty. By policy, correctional officers who are scheduled to work and work on a legal (state) holiday are given up to 8 hours of holiday compensatory time. Correctional Officers whose regular day-off falls on a legal (state) holiday, are given up to 8 hours of holiday compensatory time. If the holiday compensatory time is not used within 90 days of the date it was earned, the non-exempt employee will be paid their regular hourly rate for that time. Exempt employees will lose unused time, if not taken within 90 days. Since there is a good chance all staff do not use all their earned holiday-time to be off-duty, but are paid, serious consideration should be given to identify **actual off-duty time** for state holidays, not earned time when determining a shift relief factor; and*

- *Current practice is to combine all scheduled, leave and off-post time, to determine shift relief factors. Serious consideration should be given to sort the information by position classification to determine whether there is a significant difference in leave-time between the position classifications with the highest number of employees, i.e. correctional officer I/II's, sergeants and lieutenants.*

## **WORK SCHEDULE OPTIONS.**

In determining which work schedule to endorse several factors were considered as there is no one schedule that works best for everyone. Each jurisdiction has unique characteristics and responsibilities that prevent any one work schedule from being the most effective. As a result, there are several common factors that should be explored before deciding the work schedule to adopt.

The most cost-effective work schedules are usually designed in a manner to meet the operational needs of the institution and take into consideration employee feedback and support. For employees to become vested in a schedule they should be given a clear understanding of what the schedule options include, what shift patterns are available, and the ability to provide input into the selection process.

Some posts are required to be filled 24 hours each day, while others may be required to be filled between eight and sixteen hours for fewer days. In these cases, a combination of work schedules may best meet the needs of the institution.

Shift variations are unlimited and changes in shift schedules can initially be difficult to implement and may generate a mix of emotional responses. However, selecting a well thought out cost-effective schedule can result in significant benefits.

Based on the documentation provided, staff interviews and conducting on-site assessments there were two primary work schedules in place at the institutions:

There was a shift schedule in place designed to be filled between 12 and 24 hours each day, and a work schedule designed to fill posts assignments for less than 12 hours in a day and normally, but not always, less than seven days per week. The combination of more than one schedule is commonly referred to as a "Blended Work Schedule".

Staff assigned to both schedules initially focus on specific responsibilities; however, may be available to assist staff assigned to the other schedule when needed. It is a common practice for institutions operating 24-hours with diverse responsibilities to use a blended schedule. The debate as to which work schedule to use, usually relates to how to best meet the workload responsibilities that require seven-day coverage for eight or more hours per day.

A third schedule that is occasionally used is the four-day ten-hour work schedule. This schedule is primarily used within the SCDC in prison industries where industry operations may only be four days, and in select transport posts, where the work responsibilities often exceed 8-hours.

To provide a more detailed comparison of work schedules, the two schedule options with the lowest average shift relief factors: *Straight 12-hour shift (SRF: 5.01)* and the *8-hour shift, 24/7 (SRF: 5.44)* are examined in further detail.

### **Cost-Effectiveness.**

**Straight 12's.** As shown in the SRF table the work schedule that requires the least number of staff when fully staffed compared with the other options is the straight 12-hour schedule (straight 12's). The schedule results in an average 24-hour SRF of 5.06, translated to mean it takes slightly more than 50 staff to fill ten 24-hour post assignment throughout the year. The straight 12's has staff scheduled to work (14) 12-hour days in a 28-day cycle. This results in (168) hours in the work cycle, or (8) additional hours per 28-day cycle compared to staff assigned to an 8-hour schedule. The additional (8) hours worked in the 28-day cycle is paid at straight-time, consistent with state and federal laws. Staff are assigned to one of four shifts, including two alternating day shifts and two alternating night shifts. Based on the day-off rotation; staff will have a three-day weekend every other week, are never initially scheduled to work more than three days in a row and are always scheduled to have at least two consecutive days-off. The work day rotation will be the same; however, the specific days on/off will vary.

**8-hour shift.** The 8-hour shift schedule had the second lowest shift relief factor. It has an average 24-hour SRF of 5.49, translated to mean it will take approximately 54.9 staff to fill ten 24-hour post assignments throughout the year. The 8-hour schedule has staff scheduled to work (20) 8-hour days in a 28-day cycle. This results in (160) hours in the work cycle. Staff are assigned to one of three (8) hour shifts: days, afternoons or evenings, and scheduled to work five consecutive days followed by two days off. Days-off will be balanced on each shift to maximize coverage over a seven-day period. Over half the staff will not be scheduled to have a weekend day off.

From a personnel resource standpoint, the straight 12's will require approximately 4.4 fewer staff to fill ten 24-hour post assignments throughout the year when fully staffed. The straight 12's will also require each qualified staff member to be paid an additional (8) hours per 28-day pay cycle. To illustrate both work schedules a side-by-side cost comparison has been developed, using the Ridgeland Correctional Institution as an example. Ridgeland was selected in part, because the facilities current shift relief factor is the same as the overall average.

The schedules are considered blended as they both also apply an 8-hour administrative shift (Monday – Friday) referred to as *C-Card*. The same post assignments are applied for each work schedule and the difference between the total number of post hours is eight. Because one shift operates with a 12-hour schedule, and one uses an 8-hour schedule, a slight variation in total post coverage hours is expected to meet post responsibilities. In this comparison, the 8-hour schedule provides an overall total of eight additional hours of post coverage.



The comparison table identifies estimated costs when applying the following: Department reported average salaries and fringes by position and reported average hourly costs for staff assigned to the straight 12's scheduled to work (8) additional hours per 28-day work period.

The primary purpose of showing the table is to provide an illustrated estimated cost **comparison** when applying two different work schedules to the same institution when appropriately staffed. **The table does not take into consideration potential overtime costs, which would vary based on vacancy rates, associated new hire costs which may be slightly more for the 8-hour work schedule due to (12) additional staff being required, and pre-shifting briefing costs that may be slightly higher for the 8-hour schedule because more staff are required.**

<b>Estimated Work Schedule Initial Cost Comparison</b>							
<b>8's (160 hrs.)</b>	<b>Staff</b>	<b>S &amp; F*</b>	<b>Total S &amp; F</b>	<b>12's (168 hrs.)</b>	<b>Staff</b>	<b>S &amp; F*</b>	<b>Total S &amp; F</b>
Major	1	\$ 82,481	\$ 82,481	Major	1	\$ 82,481	\$ 82,481
Captain	4	\$ 73,215	\$ 292,860	Captain	5	\$ 73,215	\$ 366,075
Lieutenant	34	\$ 57,424	\$ 1,952,416	Lieutenant	32	\$ 57,424	\$ 1,837,568
Sergeant	45	\$ 52,544	\$ 2,364,480	Sergeant	43	\$ 52,544	\$ 2,259,392
Officer (JD30)	143	\$ 47,335	\$ 6,768,905	Officer (JD30)	134	\$ 47,335	\$ 6,342,890
<b>Sub-total</b>	<b>227</b>		<b>\$ 11,461,142</b>	<b>Sub-total</b>	<b>215</b>		<b>\$ 10,888,406</b>
<i>Extra hrs. (104)</i>				<i>Extra hrs.</i>	<i>Staff</i>	<i>Ave. Rate</i>	
Front-Line	NA	NA	NA	104	105	22.76	\$ 248,539
Sergeants	NA	NA	NA	104	38	25.26	\$ 99,828
<b>Sub-total</b>							<b>\$ 348,367</b>
<b>Overall Estimate</b>			<b>\$ 11,461,142</b>				<b>\$ 11,236,773</b>
Difference			1.96%				<b>\$ 224,369</b>

\*Average department-wide salaries plus fringes by position classification.

Officer (JD30) includes average salary and fringe for officers only, not cadets or corporals.

As reflected in the table, it would take approximately \$224,369 (1.96%) more per year to staff the recommended post assignments when using the 8-hour work schedule, than when using the straight 12-hour schedule. Approximately (12) additional staff would be required when applying the 8-hour work schedule.

The salary and fringe rates and hourly rates are based on average salaries identified for the position classification by the Division of Budget and Finance and are not based on actual individual salaries for staff currently assigned to the institution. The officer (JD30) rates are based on reported average salaries and fringe rates for (JD30) correctional officers and excludes cadets and corporals.

The (104) Extra Hours, reflect the (8) additional hours per work period, staff assigned to the straight 12's are scheduled to work. Since the schedule is considered blended, all staff are not scheduled to work (168) hours. Staff assigned to the 8-hour shifts are scheduled to work (160) hours per work period.

Oftentimes, the use of overtime is considered an expected option in filling post assignments; however, any savings should be balanced against the **productivity and human costs associated with excessive reliance on overtime**. Particularly in a job as stressful and demanding as that of a correctional officer, routine reliance on staff to work substantial hours beyond their normal duty can be detrimental to overall operations. As a result, generally recognized best practices in correctional agencies dictate that permanent post assignments should be filled with full-time staff, rather than by staff working overtime. The potential negative impact when a large amount of overtime is required to permanently staff a full-time position far outweighs the potential incremental savings achieved by using overtime to cover post requirements.

**Taking into consideration the cost factors presented, the blended straight 12's schedule, when staffed properly, can potentially be the most cost-effective work schedule of the options reviewed.** Appendix B provides the Ridgeland recommended post chart used in the comparison.

**Employee Buy-In.** As noted, during each on-site assessment formal and informal interviews were conducted throughout the facilities including on the yard, in the housing units, cafeteria and in staff offices. A formal questionnaire was not used due to the logistics in which the interviews took place. One of the questions repeatedly asked during the interviews was, the employees' preference on work schedules. Most staff assigned to the 12-hour shift preferred the shift, primarily because of the opportunity to have three days off and a three-day weekend every other week. Most staff assigned to the 8-hour shift, preferred the 8-hour shift; however, voiced concern that the schedule routinely resulted in the shift lasting more than 8-hours. The general attraction to the 8-hour administrative shift was it provided more family time, consistent days-off, and normally the weekend and holidays off.

While 12-hour shifts result in more days-off, they are not the unanimous preference of all shift-workers. Staff interviews in other jurisdictions have shown that generally older staff, staff working part-time jobs, and staff having child care or other scheduled responsibilities may prefer a traditional eight-hour shift. SCDC currently offers a blended schedule that allows staff the opportunity to work a schedule that best meets their needs and when properly staffed, can be the most cost-effective schedule.

**Back-Filling Post Assignments.** When there is not enough staff to meet post responsibilities, facility management personnel are required to make decisions as to which post assignments are to be filled and who will fill the posts.

Operational practices reflecting a combination of options are applied, including: filling the vacant post intermittently by staff assigned to other posts; augmenting position classifications; expanding the post responsibilities of staff assigned to a nearby post; cancelling services; closing the post or hiring staff not initially scheduled to work, to fill the post. When this situation occurs, the identified staffing plan has become disrupted and oftentimes less gets done.



When applying the 12-hour work schedule, there are limitations as to the number of staff available to back-fill a vacant post. Selecting staff to stay over that were scheduled to work the previous 12-hour shift, are only available to safely work four additional hours. Selecting staff scheduled to work the following shift, can only work four additional hours preceding their shift. This leaves the four middle hours of a 12-hour shift vacant, which is often extremely difficult to fill. It has been my experience that staff normally do not prefer to come to work during their off-time for four hours to fill a post assignment. Another option to consider instead of extending an employee's shift, is utilizing staff on their scheduled off-days. This often ends up being the preferred, choice provided the staff member has received sufficient rest.

Establishing effective limits and thresholds should be considered a priority and be maintained to include the frequency, number of days and hours staff can work extra hours, and the required rest/break in a defined period. It is my understanding that in November the department had established thresholds. This is a critical component to establishing a cost-effective 12-hour work schedule.

Regardless of the option chosen, back-filing a vacant 12-hour post assignment is generally more difficult to consistently provide, than filling an 8-hour post, and should be considered the primary drawback on applying the 12-hour work schedule.

When applying an 8-hour shift schedule, the pool of staff available to back-fill vacant post assignments increases. Staff that were scheduled to work the previous 8-hour shift can occasionally work four to eight additional hours resulting in a 12 to 16-hour shift. Staff scheduled to work the following shift, can also occasionally be available to work four to eight additional hours for a total of 12 to 16 hours. This is not highly recommended; however, since, each shift is 8-hours, staff scheduled to work the previous or following shift can assist by working four to eight hours and still ensure the vacant post assignment is filled. Qualified staff that are on their off-days, should also be considered as preferred to fill the vacant post assignments, expanding the pool of eligible staff available, provided they have received sufficient rest.

Based on the number of staff available and the length of time a post needs to be filled, it is generally easier to fill a vacant 8-hour post assignment than it is to fill a 12-hour post assignment. As a result, if an institution is operating at a less than optimal level and additional staff are required to fill post assignments, fewer post assignments may remain vacant when applying the 8-hour work schedule.

**Fatigue Risk Management.** It has been reported that the cumulative effect of having staff repeatedly work extended hours may contribute to job-related stress and can lead to fatigue-impaired employees. Most of the research reviewed involved the nursing profession, as there was very little detailed empirical research available in the corrections industry. Based on experience and anecdotal evidence it is fair to assume, elevated levels of stress and fatigue may be contributing factors to higher staff turnover rates.

The staffing levels for each institution was less than optimal and most staff reported they had frequently worked extra hours. This was supported by the escalating overtime expenditures reported in 2017. For example, in December 2017, overtime reports reflected (41) staff assigned to one of the thirteen institutions had worked 80 or more overtime hours in the 28-day cycle.

This means there were (41) staff that had worked at least (80) additional hours over and above (171) hours in a single 28-day pay period. One can conjecture that when staff work extra hours it can often reduce their potential off-duty rest hours. Depending on how an individual manages their off-duty time, this may directly impact work performance.

For some staff, a 12-hour shift just may be too long to remain motivated and vigilant. For others, the three consecutive days off, three-day weekend every other week, and limited extra hours, allows them to stay motivated. During interviews there were staff working both 8-hour and 12-hour shifts that gave the appearance of being fatigued and less than vigilant. This could possibly be because of the numbers of hours worked, how they manage their off-duty time, or a combination of both. However, measures should be in place to continuously monitor work performance and limit the number of extra hours personnel are allowed to work.



#### Comments:

**Consider re-evaluating the maximum number of extra work hours an employee can work during a 7 and 28-day work period.**

*Based on existing staffing levels compared to overall workload responsibilities, until additional personnel become available, or workload levels are significantly decreased, overtime opportunities are going to be available. Due to the impact working extra hours may have on staff (elevated levels of stress, fatigue, vigilance), existing limits need to be monitored and potentially re-evaluated to identify the most effective limits;*

**Re-evaluate "extra hour" call-out procedures to include voluntary and scheduled call-out lists to cover core post vacancies.** Ensure lists are updated on an as needed basis, or no less than once per month, and ensure extra hour limits are incorporated into the call-out selection process.

## ROSTER MANAGEMENT

Effective roster management systems maximize the efficient use of staff resources using post analyses, master rosters, daily rosters, and an ongoing recapitulation of actual staff utilization. When properly applied, roster management systems create the means in which institutional administrators can ensure available staff resources are allocated appropriately and staffing needs are communicated effectively to department executive personnel.

The fundamentals of an operations-based roster management system appeared to be in place at the institutional level. As staffing levels decreased, portions of the system began to breakdown. During the review period, posts identified as “mandatory” go unfilled, minimum staffing levels established by the department are no longer consistently being met, required full-shift post assignments are being filled intermittently, and daily shift rosters have become less accurate.

A post analyses has been developed for each of the institutions as required by policy, which was prepared by the Division of Security with feedback from both executive and institutional staff. Based on the analysis, staffing level recommendations were identified for each institution. Institutional personnel were provided a post chart that serves as a guide to facility personnel on what post assignments should be filled and when they should be filled. The recommended levels are referred to as the institution’s “Authorized Strength”. Based in part on the authorized strength, funding levels are then established for each institution. As the mission of an institution changes or the workload responsibilities significantly change updated post charts are to be established.

In most circumstances institutional post charts had been adjusted to reflect workload changes, in a few situations, they had not been adjusted. For example, at Kirkland staffing allowances increased as residential mental health programs were established and the death row population was moved to Kirkland. When a work release program and Crisis Stabilization Unit (CSU) were established at Camille Graham staffing allowances were provided. In other situations, including daily inmate supervision at the Palmetto Richland Memorial Hospital from the Broad River and Camille Graham Correctional Institutions, no staffing adjustments were made. Each institution was providing approximately (4) staff per shift, seven days a week. In these circumstances, where the additional responsibilities were not being recognized, the department recommended staffing level was underestimating workload responsibilities and staffing requirements.

As noted previously, to determine proper staffing levels shift relief factors need to be applied to most post assignments to allow for post coverage when assigned staff are unavailable. The department recognized post charts apply a shift relief factor to seven-day front-line posts and a few five-day posts; however, do not apply a shift relief factor to any supervisory posts or most five-day front-line posts. This results in underestimating the required staffing levels for each institution.

Post Classification. By memorandum from the *Division of Security*, the institution post chart is required to identify post assignments as either, *Pull Post Level I, Level II, or Level III (Mandatory)* to assist shift supervisors when determining which posts can be temporarily collapsed or closed.

The classification of post assignments is designed to ensure certain post are shut down first. It is a nationally recognized best practice. The practice had been in place; however, when staffing levels dropped, the need for post classifications became less important as available staff were only being assigned to critical posts. Most institutions operate at minimum staffing levels or below, and normally only fill mandatory or level II posts at best. At no time during the on-site assessments did I observe staff assigned to any trivial or less than essential post assignments.

As part of the post classification process, minimum staffing levels are also established by shift for each institution. Oftentimes based on completed daily rosters and feedback from institutional shift commander's, minimum staffing levels were not always provided. The general protocol in filling post assignments is for the shift commanders to contact staff working the off-going shift to determine if there is any interest in working extra hours, and if needed, to contact staff on their off-days in attempt to fill minimum levels. If sufficient personnel are not available, the institution operates with the personnel they have. This often results in program and service cancellation, housing unit lockdowns, responsibilities not being met and operating at less than the minimum levels.

Minimum staffing levels should be re-visited and re-defined. As critical workloads change, the minimum levels may change. With the recent mental health settlement agreement, the minimum staffing requirements must ensure the post requirements established in the department agreement are met. Core post assignments should be established to assist shift leaders in deciding which posts to consider as the number of post-eligible security staff changes. Core posts are posts that are considered either essential or critical to shift operations. Monthly in-house reviews, should also be established to clearly identify realistic minimum staffing levels, the on-going effectiveness of the roster management system and to confirm or re-establish minimum levels.

Core post assignments have been identified for each institution in the recommended post charts as a guide to fill front-line positions. The core posts should not be considered minimum staffing levels; however, essential priority posts required to meet institutional operations and established agreements.

Shift assignments and deployment. Facility management personnel have developed a shift assignment roster for security staff that identifies the names of the personnel assigned to each shift, their position classification and status. The C-Card (8 hr. shift) roster also identifies the employee's normal post assignment. A review of shift assignment rosters reflected, staff were primarily assigned to one of five shifts. The shifts included one of four 12-hour work schedules and the 8-hour administrative shift. In reviewing the number of staff assigned to each shift and the corresponding work load responsibilities associated with each shift, most institutions properly balanced available staff resources between shifts.

At a few institutions the 12-hour shifts were not always balanced. A review of one shift assignment roster reflected the D-1 shift had (35) FLS staff and the E-1 shift had (47) FLS staff. This represented a significant discrepancy between the two alternating day shifts. In respect to the 12-hour evening shifts, D-2 had (26) FLS staff and E-2 had (38) FLS staff. This also represented a discrepancy between the two alternating evening shifts.

In this situation, there were more staff assigned to the E-2, night shift than the D-1, day shift. Balancing the alternating shifts provides for consistency in operations and potentially a reduction in overtime expenditures. Concerns with providing a more balanced approach to deployment of personnel was observed at two of the thirteen institutions.

Daily Rosters. In addition to the shift assignment roster, daily shift rosters are also maintained for the 12-hour shifts, identifying in more detail, the actual staff assigned by day, their post assignment, staff on leave and responders. The daily shift rosters should be designed to identify how scheduled personnel are utilized and to provide a best practice tool for documenting staff accountability. The rosters should be viewed as a legal document, that can assist the department in tracking how staff are used. Based on a review of sample daily post assignment rosters, several different templates were being used that may lead to additional concerns.

Some of these concerns include the following:

- **Provide a recapitulation table as part of the daily roster.** *There is no recapitulation data available on most daily rosters. Daily shift rosters should be designed to identify how every staff member assigned to the shift is being utilized. This includes staff on leave-time, training, off-post and those staff normally not assigned to the shift filling a post assignment. The daily roster should be considered a staff accountability document showing how staff are being deployed. A recapitulation table should be considered a fundamental component of each daily roster; without one it is difficult to track how all staff are being assigned. This is critical when identifying post coverage trends, staffing needs, historical data and how available staff are being utilized. Based on daily rosters reviewed one institution incorporated a recapitulation table on one of their shifts. For the remaining daily rosters, it was difficult to determine whether all staff assigned to the shift were being utilized;*
- **Document intermittent coverage.** *Several daily rosters reviewed reflected the same individual assigned to more than one post assignment. In most circumstances it was to two different post assignments. In one situation the same individual was assigned as working four posts; including a housing unit, shift commander, yard and cafeteria. No replacement personnel were listed as being assigned to any of those four posts. When staff are intermittently assigned to a post, times should be listed to provide accountability. If a post is closed it should be noted on the daily roster;*
- **Manual daily rosters did not always match automated rosters submitted to central office.** *The analyst was provided both manual and automated daily rosters. The manual daily roster is considered a working document that is initially completed at the institution to identify where staff assigned to the shift are deployed. The automated version is electronically submitted into the Human Resource Electronic Management System that is intended to document staff deployment patterns at the institution for each shift. A review of manual and automated daily rosters for the same shift, same day at the same institution reflected all staff were not identified on the automated version that were identified on the manual daily roster. On one occasion there were seven staff identified on the manually completed shift assignment roster that were not listed on the automated daily shift roster.*



*How the seven staff were being used during the shift, was not possible to determine when reviewing the automated daily shift roster. In reviewing additional copies of manual and automated rosters provided, the accurate transferring of information into the automated system appears to be more than an isolated concern; and*

- ***All security personnel should be listed on a daily shift roster.*** In some institutions transportation, shock program, youthful offenders or other specialized areas maintained a separate or no daily shift assignment roster. Daily rosters are designed to provide staff accountability and should document how all security staff are being utilized.

## RECOMMENDED STAFFING LEVELS

Recommended staffing levels have been developed based on identified workload responsibilities at each of the thirteen institutions. Workload responsibilities are the result of a combination of meeting the mission of each institution, applicable state and federal laws, national standards, best practices, SCDC policies and directives and the 2016 approved Mental Health Settlement Agreement (*T.R. V. South Carolina Department of Corrections*, No. 2005-CP-40-02925).

Overall staff-to-inmate ratios were not established as there are a plethora of variables such as diverse missions, physical plant design, custody level, number of inmates, mental health classification, program and treatment requirements, department policies and state laws that impact recommended staffing levels. To oversimplify the complexity involved in determining appropriate staffing levels for each diverse institution would only invite confusion. Overall ratios were taken consideration when determining final recommendations.

During the on-site assessments there were several institutions which included housing areas that were not operational. Overall inmate population levels have decreased each year since 2011, allowing the executive staff flexibility in housing options. Some of the housing areas had been closed for less than a month and one had reportedly never been used (Leath CI). Department staff requested the staffing assessment include the use of all available housing areas, including the areas that were closed during the on-site assessments.

The results of the review reflect a significant increase in the number of security staff recommended to effectively operate each institution in a safe manner, consistent with established workload responsibilities. The following table identifies each institution, associated custody level, the security staffing level reported on January 1, 2018, the recommended number of security staff recommended and the difference between the recommended number and staffing level on January 1, 2018. Not one of the institutions was operating at or near the recommended level.

<b>Overall Recommended Security Staffing</b>			
<b>SECURITY STAFFING</b>	<b>RECOMMENDED</b>	<b>1/1/2018</b>	<b>DIFFERENCE</b>
<b>Level 3</b>			
Broad River	376	202	174
Lee	375	195	180
Lieber	355	159	196
McCormick	283	108	175
Perry	340	145	195
Kirkland	533	304	229
<b>Level 2</b>			
Ridgeland	215	109	106
Turbeville	292	164	128
Tyger River	350	147	203
Kershaw	263	152	111
Evans	261	121	140
<b>Females - Multi-Level</b>			
Leath	160	77	83
Graham	239	147	92
<b>Total</b>	<b>4,042</b>	<b>2,030</b>	<b>2,012</b>

Source: 1/1/18 Staffing Levels. All JD Series Security SCDC RIM.

The table identifies a total of 4,042 security staff as being recommended to operate the thirteen institutions. On January 1, 2018 the reported number of assigned staff was 2,030. As a point of reference, the department recognized recommended staffing level for the same thirteen institutions was 3,047.

The recommendations are reflective of maintaining the agency mission which includes:

- *Safety: Protect the public our employees, and our inmates;*
- *Service: Provide rehabilitation and self-improvement opportunities for inmates; and*
- *Stewardship: Promote professional excellence, fiscal responsibility, and self-sufficiency.*

The staffing recommendations took into consideration all the above, including the individual mission of each institution. Specifically taken into consideration was the high number of inexperienced and/or new staff assigned to the institutions and the corresponding vacancy rates.

The current recommendations are based on workload responsibilities and providing sufficient supervisory personnel to communicate with their staff, provide accountability, guidance and support, which when done properly, may assist in elevating retention rates. Effective front-line supervisor to line staff ratios are dependent on the tasks, standards and responsibilities of both the front-line staff and front-line supervisor.

In the corrections industry, there are no simple answers in respect to the number of staff required; such as, if you have 'x' number of line staff you need 'y' number of supervisors. For example:

- Some supervisor positions focus primarily on specific skilled responsibilities, such as the armory sergeant, key control sergeant, compliance, training, environmental health and safety and they often supervise very few front-line staff;
- Some institutions have a large number of specialized housing units and others have very few;
- Some jurisdictions have a high percentage of inexperienced staff, and some jurisdictions have extremely low turnover rates and a high percentage of seasoned staff; and
- Some institutions have a relatively large, spread-out physical plant (Tyger River, Kirkland) and others have in comparison, a smaller footprint.

**Staffing recommendation by institution and position.**

Overall, an average of 68% of the recommended staffing level is considered front-line staff (cadets, officer I/II's and corporals) and the remaining are considered supervisors.

<b>Recommended Staffing Level by Institution and Position</b>						
<b>Institution</b>	<b>Front-Line</b>	<b>Sergeant</b>	<b>Lieutenant</b>	<b>Captain</b>	<b>Major</b>	<b>Total</b>
<b>Level 1</b>						
Broad River	264	63	42	6	1	<b>376</b>
Kirkland	382	96	47	7	1	<b>533</b>
Lee	258	67	43	6	1	<b>375</b>
Lieber	248	60	40	6	1	<b>355</b>
McCormick	184	53	39	6	1	<b>283</b>
Perry	236	59	38	6	1	<b>340</b>
<b>Level 2</b>						
Evans	175	46	34	5	1	<b>261</b>
Kershaw	173	51	33	5	1	<b>263</b>
Ridgeland	134	43	32	5	1	<b>215</b>
Turbeville	198	53	35	5	1	<b>292</b>
Tyger River	235	77	32	5	1	<b>350</b>
<b>Female: Multi-level</b>						
Camille Graham	166	46	21	5	1	<b>239</b>
Leath	97	39	19	4	1	<b>160</b>
<b>Total</b>	<b>2750</b>	<b>753</b>	<b>455</b>	<b>71</b>	<b>13</b>	<b>4042</b>
<b>Percent of Total</b>	68					



## RECOMMENDED POST ASSIGNMENT ENHANCEMENTS

The recommended staffing level for security positions at the thirteen institutions is 4,042. The department recognized recommended staffing level for the same institutions was 3,047. The primary differences between the two recommendations can be found in the following areas:

**A Shift Relief Factor is applied to most recommended post assignments.** The current recommendation includes the application of an updated shift relief factor being applied to most post assignments. This accounts for approximately (250) additional positions. Based on the average use of leave and off-post time, staff are normally available to fill a post assignment between (77) and (79) percent of the time they are originally scheduled. Each institution may vary slightly; however, the overall average is in the above range. When a shift relief factor is not applied to a post assignment, there is no allowance for staff to be available to fill the post assignment or meet the workload responsibilities when regularly assigned staff are unavailable, except to deviate from the established staffing plan. This occurs on a daily basis.

The department recognized staffing recommendation does not currently reflect a shift relief factor for any supervisory post assignment (sergeant, lieutenant, captain) or most transportation, front gate/lobby, escort, education, programs or recreation posts. This often results in the associated responsibilities not being completed or being completed at the cost of closing another critical post.

Staff are frequently being pulled from posts within the facility to fill transportation posts, provide inmate escorts, assist in the front gate and provide hospital coverage. Several institutions were having difficulty in consistently providing recreation, 30-minute checks and/or showers to all inmates assigned to a Restricted Housing Unit. Most of the recreation and escort posts are currently considered five-day non-relief posts. Applying a shift relief factor, recognizes the importance of the post responsibilities and provides an allowance for sufficient personnel to be available to meet those responsibilities during employee use of leave or off-post time.

The analyst recommendations include applying a shift relief factor for most seven-day FLS staff post assignments, most seven-day supervisory posts and most five-day FLS post assignments. This difference results in approximately (250) additional positions being recommended;

**Staffing levels are based on meeting workload responsibilities.** The recommendations are based on operating at a level that will allow post responsibilities to be met on a consistent basis. Oftentimes agencies become accustomed to operating at or near minimum staffing levels. For example, having one officer assigned to a 250-bed maximum custody housing unit becomes the norm. If something devastating does not happen, then it is often considered an acceptable practice. That is not to say that is the case in South Carolina, as department staff fully recognize additional resources are required. Although devastating incidents may not occur every day, the integrity of the system gradually breaks down when there is a consistent lack of sufficient personnel resources available to meet established responsibilities.

General Population Housing. The workload responsibilities of a correctional officer assigned to a housing unit are expansive. Their primary responsibility is to supervise inmates in the housing units, including those assigned to work details within the unit, and those unassigned. Additional responsibilities include: maintaining an open-line of communication, addressing concerns, conducting security inspections, cell searches, operating security equipment, responding to incidents, preparing and submitting written reports, enforcing policy, providing escort for both inmates and non-security staff, monitoring programs and treatment, coordinating daily activities including access to showers, supply distribution, mail delivery, telephones, clothing/linen exchange, recreation and performing institutional counts and wellness checks. As many as nine inmate counts are also to be conducted each day separately by two different staff. It can be a difficult job to do well and requires sufficient personnel to meet the ongoing responsibilities.

Current practice is for between one and three officers to be assigned to a unit during the day shift to meet existing responsibilities. The number varies based on the inmate count, design and type of inmate housed in the unit. When applying this staffing compliment, based on staff interviews and review of available documentation, services are not consistently being provided, supervision is limited, searches are not frequently being conducted, and the number and type of inmate counts completed were not always consistent with policy. The first tasks not to completed, often are the most labor-intensive, i.e. searches.

Based on the everyday responsibilities of an officer and the activity levels of housing units, the practice of having between one and two officers assigned to provide security, custody and control of over (200) inmates during the day shift is inconsistent with realistic expectations of what an officer can accomplish and underestimates the demands of the job. Depending on supervisory staff to assist, impacts the ability of the supervisor to meet their position responsibilities. As a result, effective supervision in the housing units is not consistently being provided at current levels.

During the evening shift, even fewer staff are available resulting in institutions routinely being placed on lockdown status. Correctional officers assigned to the housing units, serve more as “watchmen” or “guards”, not by choice, rather than as correctional officers. Their primary focus turns into conducting security rounds, inmate counts and contacting others when assistance is needed. A total of approximately (200) additional staff are being recommended to be assigned to general housing units.

Courtyard. All the institutions included in the project contain at least one courtyard that consists of open space surrounded by housing units, physical plant support buildings, service areas, administrative buildings and program space. All authorized inmate movement is considered controlled movement and the type of movement varied based on the inmates’ classification, the purpose for the movement, destination and time of day. A combination of line movement, escorted, supervised and the use of passes (OTR’s) was all being used. To proceed from the housing units to most program activities and services, inmates are required to walk through a courtyard or open area leading to the cafeteria, visitation, education and medical services.

It is essential and a fundamentally supported best practice that, staff be available to conduct security checks throughout the facility and be available to monitor, control and authorize inmate movement.

Current practice is to normally provide limited or intermittent supervision. When intermittent supervision is provided it is usually during peak movement periods and includes monitoring inmate lines and the cafeteria, not patrolling the facility conducting security checks or redirecting unauthorized inmate movement.

In most institutions internal fencing and gates are present throughout the courtyard to assist in controlling movement. When the gates are secured it requires personnel to open the gates. Most of the gates are manually operated; however, there are gates that are remotely controlled. Ensuring only authorized movement is provided, and the gate is secure after it has been opened, can be a concern when applying remote gate operations. When sufficient staff are not available to operate a gate, delays can also occur. Slowing down and controlling movement, in most circumstances is highly recommended; creating unnecessary long delays can lead to security concerns. Specific areas within the yard, often includes, gates leading to/from housing units, yard access gates and monitoring canteen, food services, pill-line windows and commissary lines, where inmates congregate while waiting for access.

This is not an endorsement for every gate to be manned; however, for sufficient security personnel to be available to control inmate movement while minimizing delays, and be consistently available to patrol the facility, serve as responders and conduct security checks throughout the yard. Observed practices, supported by daily rosters reflected no yard officers, one officer and intermittently, the shift commander serving as the only yard officer to be a common practice at several institutions. A total of approximately (90) additional security staff are being recommended to effectively provide institutional security coverage at the thirteen institutions.

**Recognize underestimated staffing requirements.** The current staffing level recommendations are based on meeting established workload responsibilities. A review of department recognized post charts reflected staffing levels in a few occasions, may not be in-line with associated workloads.

At Tyger River the reported authorized strength for the institution is 233. There are thirteen stand-alone housing units of which eleven are used to house general population inmates. The department recognized allocation for FLS positions for the (11) general population housing units is, (2), seven-day 24-hour FLS posts. When applying the existing SRF, a total of (11.88) positions are recommended. When applying the updated SRF based on (168) hours a total of (10.12) FLS positions would be required. This may have been an oversight by the department, which is understandable based on the number of housing units operational and the number of posts being recommended.

The current recommendation includes: (22) seven-day FLS positions during the day shift, (11) seven-day FLS positions during the night shift and (6) seven-day housing unit floaters during the night shift. When applying the updated shift relief factor, based on (168) hours, approximately (98.67) staff positions are recommended. The difference between the two recommendations in regards to FLS staff positions is approximately (88.5).

At Perry, there are four Restricted Housing Units of which three were operational during the review period. Each RHU has an operating capacity of (48) and are stand-alone units located in the same zone of the facility. In respect to FLS positions, the department recognized post chart identifies a combined total of (4) seven-day wing officer posts during the day shift and (4) during the night shift; (3) control room posts and one five-day, non-relief recreation post for the RHU's. This results in approximately (36.2) staff when applying the updated shift relief factor.

The current recommendation includes FLS staff assigned to each control room on a 24/7 basis, (3) seven-day wing officers for each unit during the day shift, (2) seven-day wing officers during the night shift for each housing unit, (3) RHU Recreation/Shower officers, five-days per week and (2) five-day RHU escort officers. This is based on three units being operational, not all four.

This staffing plan results in approximately (54.2) staff positions when applying the updated shift relief factor. The difference between the two recommendations in respect to FLS staff positions is approximately (18).

At Leath there are five operating housing units of which one contains a wing within the unit that is used as the Restricted Housing Wing. The department recognized post chart identifies a total of (4) seven-day FLS post assignments for the housing units and (1) seven-day FLS post assignment for the restricted housing wing. When applying the updated shift relief factor, (25.6) staff are recommended.

The current recommendation includes recognizing there are five separate housing units and one unit includes a specialized wing, which requires dedicated staffing (Restricted Housing wing). When applying the updated shift relief factor to the (4) general housing units, restricted housing wing and the 258-bed unit serving in part as a mental health outpatient unit (38.4) positions are recommended. This reflects a difference of approximately (12.8) FLS positions.

At the Broad River and Camille Graham Correctional Institutions ongoing workload responsibilities for each institution includes assisting in providing inmate supervision at the Palmetto Memorial Hospital – Richland (PMHR). A staff deployment matrix has been established to identify post coverage responsibilities for each institution. A review of staff utilization at both facilities during the period of December 2016 through November 2017 reflected an average of (4.1) staff were used each day on the night shift at Broad River, and (4.5) staff were used each day on the night shift at Camille Graham. Institutional staff reported the same number of staff are normally required during the day shift.

The department recognized allocation identified no staff for either institution to meet the ongoing responsibilities.

The current recommendation includes recognizing the ongoing workload responsibilities at Broad River and Camille Graham. Dedicated positions were recognized for Kirkland. When applying the updated shift relief factor based on a (168) hour work schedule approximately (50) additional positions are recommended;

**Establish core security positions for each Restricted Housing Unit (RHU) to include sufficient personnel to maintain compliance with established policies.** To prevent the triaging of required services, sufficient staff need to be available to meet the myriad of responsibilities associated with operating a restricted housing unit. Appropriate standards cited in established SCDC policy<sup>8</sup> require: irregular 30 minute security checks on all inmates; cell searches at least weekly; daily meal delivery; access to recreation outside the cell five days per week, one hour per day weather permitting or unless safety and security reasons dictate otherwise; access to showers a minimum of (3) times per week; access to telephones; strip searches to be conducted; a minimum of two certified officers when removing, escorting or replacing inmates into a cell; inmate and staff escorts and complete inmate counts.

Current practices as represented in the log books and based on feedback received from staff was that all essential services are not consistently being provided in accordance with policy. The reason frequently cited, is there are not enough staff available to meet the responsibilities. The requirements established by the department are consistent with national standards.<sup>9</sup>

The RHU's are staff intensive units due to the enhanced security precautions appropriately required and the associated responsibilities. Most often a high percentage of inmates are on an active mental health caseload requiring additional services.

The analyst recommendations include converting established five-day recreation and escort positions to relief posts, adding recreation and/or escort positions as needed and increasing the number of wing officers in select institution to meet established responsibilities;

**Recognize post assignments associated with housing areas and select perimeter towers not in use on the date of the on-site assessment.** The current recommendation, by request, includes staffing all housing areas, including those areas that were closed during the on-site review.

Most, but not all of the institutions had either a housing unit wing, infirmary or entire housing unit closed. In addition, select perimeter towers that were not in use including the new towers at Lieber and an existing tower at Tyger River were also included in the recommendations. The staffing recommendation includes those unused areas being fully operational. This accounts for approximately (140) additional security positions of which, approximately (38) did not appear to be identified in the department post charts. Those positions included the (3) new Towers at Lieber, Infirmary at Evans, third tower at Tyger River and the Reynolds Unit at Leath. With the inmate population consistently going down each year since 2011, the housing post assignments recommended may not be needed;

<sup>8</sup> SCDC OP-22.38, "Restricted Housing Unit"

<sup>9</sup> American Correctional Association, (ACI 4<sup>th</sup> Edition).



**Establish “Security/Relief post assignments.** Staff assigned to the 8 or 12-hour shift schedule rarely, if ever receive a recognized break from their post assignment. Federal (Fair Labor Standards Act) and state labor laws do not require the employer to provide a meal period or break to employees; however, SCDC Administrative policy does:

SCDC Policy ADM-11.21 *Regular Working Hours and Overtime* cites in section 1.1: *The official work schedule for security positions will be either 1.1.1 eight (8) hour shifts or 1.1.2 twelve (12) hour shifts on a 28-day cycle, including at least one 30-minute meal period each shift.*

Due to limited available staffing levels, most front-line security personnel normally do not receive a 30-minute meal period. Working a shift in a stressful environment is difficult enough. Consistently working without an official off-post break can lead to concerns including fatigue and elevated turnover rates. Post assignments identified as “Security Relief” have been recommended for each institution to provide a combination of inmate escorts, intermittent support and security staff breaks, resulting in a total of approximately (125) additional positions. As a result, this may have an impact on retention rates;

**Increase the number of security staff assigned to most specialized housing areas to meet established requirements.** There are a large number of living units within the SCDC that provide housing for a specialized population. Some of the units may require more standard staffing patterns, necessary to meet existing traditional duties and responsibilities, such as general population units, character-based programming, safekeeping, substance abuse or work-release programs. Others may require an elevated level of vigilance, additional staff, attention to more detail, training and expanded responsibilities.

In 2016 a mental health settlement agreement took effect which identified specific requirements and conditions that are to met, including in part, providing out-of-cell time, structured and unstructured treatment and programming for all mentally ill inmates. Approximately 17.5% of the total adult incarcerated population was reported to be considered mentally ill. The classifications varied from “Stable” to requiring “Hospitalization”. Some of the less severe inmates are considered outpatients (L4), and may be housed in general population units, while receiving access to programs and treatment. Others are housed in designated specialized residential units. A written policy has been established for each of the specialized mental health units; which includes in part, a policy statement, description of mental health services and the treatment planning process. Each applicable policy also includes the following:

*This policy has been developed in response to and as a portion of the Remedial Plan agreed upon by the parties in the settlement of T.R. V. South Carolina Department of Corrections, No. 2005-CP-40-02925. As agreed by the parties in the Settlement Agreement, it is the understanding and agreement of the parties that implementation and effectuation of the provisions of this policy as a portion of the Remedial Plan shall be phased in over time and all aspects shall not become effective immediately. (See Section 2 - Summary of Agreement and Section 4 (f) - Implementation Phase-In of Settlement Agreement effective May 2, 2016).<sup>10</sup>*

<sup>10</sup> H.S.19-13, “Mental Health Services – Gilliam Psychiatric Hospital (GPH)”

As referenced, it is the understanding and agreement of the parties, that implementation and effectuation of the provisions of the policies, as a portion of the remedial plan, are to be phased in over time, and all aspects shall not become effective immediately.

In reviewing the settlement agreement<sup>11</sup>, established policies, description of mental health services and interviewing institutional personnel and the director of Behavioral/Mental Health and Substance Abuse Services, it is clear that the provision to provide mental services is a priority for the department.

In order to be consistent with the established mission of the department and applicable guidelines, all institutions, including especially those providing residential mental health treatment programs, are required to be viewed from more than just through a security lens. An integrated approach is necessary to ensure on-going practices are reflective of the established policies, settlement agreement and the three primary elements identified as the departments mission.

- **Safety: Protect the public our employees, and our inmates;**
- **Service: Provide rehabilitation and self-improvement opportunities for inmates; and**
- **Stewardship: Promote professional excellence, fiscal responsibility, and self-sufficiency.**

To accomplish these goals each institution needs to be calibrated to meet both security and treatment needs of the population.

Security personnel need to be available to perform traditional security-related duties and responsibilities, which include in part: conducting inmate counts, cell and area searches, providing inmate supervision, maintaining an open line of communication with the inmates, intervene as necessary, conduct security inspections, operate security equipment, prepare and submit written reports, coordinate daily activities including access to showers, telephone and recreation, provide supply distribution, mail delivery, clothing/linen exchange, provide escort for both inmates and non-security staff and enforce policy. There is not much more the same officer can effectively absorb while meeting these post responsibilities.

In addition to the traditional responsibilities, a dedicated security presence is required to allow for inmate group sessions, on-wing and off-wing interviews, and consultations to occur. It is critical, that non-security providers be able to focus on treatment and programming and not feel impelled to focus primarily on safety, due to the lack of a security presence. This takes a combination of properly trained and motivated staff and a sufficient number of personnel to meet the existing responsibilities.

The effective use of certified mental health technicians can assist in providing program support, but should not be considered as a replacement for properly trained security personnel.

<sup>11</sup> T.R. V. South Carolina Department of Corrections, No. 2005-CP-40-02925



Based on observations and staff interviews, the current practices in the specialized units often results in services not being consistently provided or delayed, resulting in the need to triage treatment, due to limited staffing levels.

This specifically included each Restricted Housing Unit; Gilliam Psychiatric Unit; Kirkland Intermediate Care Services; Kirkland HLBMU; Broad River Crisis Stabilization Unit; Broad River Outpatient Care housing; Camille Graham Crisis Stabilization Unit; Camille Graham Intermediate Care Services and Leath Outpatient care housing;

The updated recommended staffing levels, identify core security post assignments for each of the specialized mental health units, including a supervisory presence, wing officers, control room officers (as needed) and dedicated escort, support and recreation posts. None of the specialized mental health units includes the recommendation for fewer than two security staff at any given time. Specific recommended post assignments can be viewed for each institution in the analyst post charts identified in Appendix.

*Serious consideration should be given to seeking support for a pay increase for security personnel permanently assigned to designated residential mental health units, as has recently been adopted in both the Kentucky and Florida Department of Corrections.*

**Establish a dedicated “Inmate Medical Escort/On-Site Security” post assignment for most institutions.** A dedicated inmate medical escort/on-site security post is being recommended for most facilities. Current operating practice is to have one officer assigned to the medical unit. Primary post responsibilities include monitoring and controlling movement into/out of the unit, placing inmates in a secure waiting area, supervising inmates, escorting inmates within the unit and completing security rounds. Based on the location of the front entrance to the building and the inmate holding area, most of the officer’s time is required in the front of the unit. Exam rooms and staff interviews, including mental health interviews/clinic, usually occur in areas not often in direct line of site of the front entrance.

For example, medical/mental health interviews/consultation may occur five days per week, psychiatric clinics/interviews may occur less frequently; however, require a security presence within line of sight while maintaining confidentiality.

Most staff assigned to the medical unit are civilian and/or non-security contractual staff. It is not feasible for the officer assigned to the front entrance/inmate waiting area to meet the responsibilities required to include providing escort to/from the medical unit and to provide a roving or constant presence within line of sight of the interviews/consultation. To meet this responsibility, an additional officer needs to be available between five and seven days per week depending on the institution’s schedule. To rely on the front entrance officer to provide these responsibilities is inconsistent with the demands of the position. Current practice results in limited to no staff being available which often results in delays in conducting the clinic/interviews and no direct security oversight. Dedicated security staff are recommended in the revised post chart to meet this responsibility. This accounts for approximately (24) additional positions when applying the updated shift relief factor;

**Establish a dedicated “Compliance Lieutenant” post assignment for most institutions.** SCDC had a long-standing history of being a part of the American Correctional Association (ACA) accreditation process. The accreditation process examined institutional policies and practices in relation to nationally recognized best practices. Most, if not all the SCDC institutions had received accreditation status. State budget deficits led the department to cancel accreditation contracts with plans to replace the ACA inspections with a more demanding in-house evaluation process.

An SCDC policy was established entitled, *Management Reviews*<sup>12</sup>, designed to evaluate institutional operations, programs and activities to determine compliance with established policies. This policy dated 2005, is well developed and technically in effect; however, staff reported the policy has not been followed for the last several years.

A new policy, entitled Continuous Quality Improvement Review, (GA-06.06) was developed in June, 2017 in response to the mental health settlement agreement and to ensure continuous improvement through a process of self-evaluation and action planning.

The focus of this policy is primarily related to healthcare services and SCDC’s quality improvement process. The 2017 policy is designed to be phased-in over time and not to be considered effective immediately. During the on-site assessments occurring between September and December 2017, the policy did not appear to be in full effect. The foundation appears to be in place.

At two of the thirteen institutions staff identified as “compliance officers” were available. Responsibilities associated with the positions focused on areas such as ensuring documentation was provided and retained on issues such as shower and/or recreation access for restricted housing unit inmates and/or the monitoring of Prison Rape Elimination Act (PREA) standards. It appeared no dedicated institutional staff was available to focus strictly on monitoring institutional security practices in relation to established policy. The limited number of personnel resources were reported to be the primary reason, in-house evaluations were no longer occurring.

The SCDC policies are thorough; they cite national standards and most have been updated to reflect current requirements. The updated recommended staffing assessment includes approximately, (13) additional security positions dedicated to institutional compliance review and enforcement;

**Establish a “Field Training Sergeant” post assignment for most institutions.** Each institution had at least one training lieutenant, several institutions had a central-office retention lieutenant position and a few of the more remote facilities had a recruiting lieutenant position based out of the institution. The central office staff do not officially report to the warden.

The number of security staff being recommended for several of the institutions exceeds twice the number employed on January 1, 2018.

<sup>12</sup> SCDC GA-06.01 Management Reviews.

As the staffing levels at each institution increases, the workload for training personnel will increase. The number of classes, training hours, scheduling, documentation follow-up and mentoring will increase.

Since field training officers are currently not available, in-house practices initiated by the new training personnel should include; providing continuous on-post mentoring, support and guidance, especially to the new staff. Working a post assignment can often be overwhelming, stressful and at times, intimidating. It is difficult for annual block training to compete with the daily ongoing responsibilities, supervising a diverse group of individuals and the pressures often associated with the sophisticated and unsophisticated “grooming” techniques deployed by representatives of the inmate population. An additional field training position is recommended to meet the anticipated demands of the position, and be expanded to include a field training sergeant for each institution. This recommendation accounts for approximately (13) additional staff;

**Establish a Front-End Sergeant position for each institution.** The front-end of most institutions contain a Master Control Room, Visitation, Front Gate, Outer Perimeter Patrol, Lobby, Personal Property, Holding, Administrative Services, Support Service office areas and Operations.

The front-end is an area where all staff and visitors usually experience their first encounter of the day with security procedures. This initial point of contact often results in the unexpected. Based on a review of daily rosters and on-site observations, several of the front-line post assignments are intermittently filled by personnel assigned to other posts in the general area.

Most of the post assignments do not require a supervisor to be constantly present, but for one to be immediately available to address issues as they arise. A seven-day 12-hour front-end roving sergeant position is recommended for most level 2 facilities and a 24-hour position for level 3 facilities resulting in approximately (40) additional positions. Primary responsibilities to consider for this position should include absorbing responsibilities associated with the operations post assignment at most but not all the institutions. The existing responsibilities associated with the operations positions at Kirkland and Lieber require the posts to remain filled;

**Establish additional Kitchen/Dock post assignments.** Each institution has a kitchen and every kitchen has a dock area where supplies are received and garbage and re-cycle is normally processed. In most institutions the dock area is a shared dock, some may have fencing providing limited separation; however, several docks provide access to other areas such as canteen, commissary, grounds maintenance, plant maintenance, vehicles, waste containers, back gate, vocational education and/or prison industries.

Food Service personnel are assigned to the kitchen and are required to be present when the kitchen dock area is open. The analyst inspected the kitchen/dock areas and at four of the thirteen institutions the kitchen door leading to the dock was open with no staff present. At all thirteen institutions no dedicated security staff were assigned to the kitchen, however food service staff were.

The kitchen in a correctional institution is generally one of the more active support service areas. Correctional institutions rely on pre-screened inmates to assist in food preparation, prepare tray-lines, serve inmates and staff, operate dishwashers and complete area sanitation. The physical layout of the kitchen contains multiple blind spots, storage space, food preparation, dish-washing area, culinary tools, a large number of assigned inmates and access to outside the building.

Food service personnel are normally present in the area; however, their primary focus appeared to be on food preparation and delivery of meals. No security personnel are normally assigned to the kitchen/dock area which should be considered a high-risk area. The updated staffing recommendation includes a post assignment for the kitchen/dock area.

Due to a combination of shared dock, proximity to other areas, lack of security personnel assigned to the kitchen portion of the cafeteria, two staggered (8) hour five-day kitchen/dock relief post assignments are being recommended for (7) of the institutions. Three of the institutions already had a post on the department recognized post chart and three of the institutions had a more controlled and limited dock space. A total of approximately (17) additional positions are recommended;

**Establish a “Security Captain” post for level 3 institutions to coordinate and focus primarily on developing and enforcing strategies to enhance the security of their assigned institution.** A dedicated in-house supervisory post assignment is being recommended for the level 3 institutions to identify, coordinate and maintain appropriate security preparation and enhancements at the institution level.

**Re-evaluating Post Assignments.** In an effort to streamline responsibilities there are three post assignment areas that are not being identified in the analysts recommendation. These include the following:

- Litter Crew Detail.

Title 24-13-65 states: *The Department of Corrections shall provide prisoners not otherwise engaged in a useful prison occupation for litter control projects proposed by counties and municipalities*<sup>13</sup>;

The analyst is aware of the statutes and that the department is a partner in *PalmettoPride*, a non-profit organization with a focus on eradicating litter in South Carolina. In this partnership, the department is responsible for assisting, by providing inmate labor. Serious consideration should be given to ensure facilities that are properly staffed are engaged in this detail; however, in view of the level of staffing at the thirteen facilities, litter crew post assignments are not being recommended. Overtime expenditures is normally required to provide this service.

<sup>13</sup> Section 24-13-65, Prisoners to be provided for litter control projects.

- The *operations* post assignments in most of the institutions are not being recommended. Based on the primary responsibilities associated with the position, the duties do not consistently require an employee to be certified. In several institutions the duties were being managed by non-security personnel with support from security staff when needed.

The current recommendation does include a seven-day Front-End Sergeant position whose responsibilities should include, assisting *operations* personnel when needed. Based on the unique role of the *operations* position at Kirkland and Lieber, those post assignments have been included in the recommendation; and

- Unit Management Concept. A seven-day security supervisor post assignment is being recommended for every housing unit in the eleven male institutions, as well as an increase in the number of FLS positions assigned to the housing units, and an increase in both supervisory and FLS positions for the courtyard. I fully recognize that recommending additional posts is not the same as applying the unit management concept, however after interviewing both unit management personnel and facility staff, examining available staff resources and reviewing the overall current operation, specific unit management positions were not identified in the current post recommendations.

# APPENDIX

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17-cv-3031-RMG

## APPENDIX A

## SHIFT RELIEF FACTOR CALCULATION FORMULA

	SCDC SHIFT RELIEF FACTOR CALCULATION	SAMPLE
A.	Agency Closings	0
B.	Agency Work Days (# of days in a year))	365
	Days Contracted to Work (160 hrs. per 28-day cycle) # of Cycles per Year x Days to Work per Cycle	260.71
C.	Regular Days Off (Days in Year - Days Contracted to Work)	104.29
D.	Vacation Days (Average Annual Leave hours taken per employee / # of hours in shift)	10.8
E.	State Holidays (13 Days)	13
F.	Sick Leave (Average Sick Leave hours taken per employee / # of hours in shift)	8.4
G.	Other Days Off (injury, military, funeral, unexcused, disciplinary, special assignments, etc.) (Average "Other" Leave hours taken per employee / # of hours in shift.)	2.25
H.	Training Days (Average Training hours per employee / # of hours in shift.)	5.8
I.	Total Days Off (C+D+E+F+G+H)	144.54
J.	Actual Work Days (B-I)	220.46
K.	Meal Time Allowance (J x .0625)	13.78
L.	Actual Work Days (Including Meal Allowance) (J - K)	206.68
M.	<b>Number of Employees for one 8-hour shift, 7 days per week (B/L)</b>	<b>1.77</b>
M.1.	Number of employees for 24-hour coverage	
	7-day posts	5.3
	5-day posts	3.78
	2-day posts	1.51
M.2.	Number of employees for 12-hour coverage	
	7-day posts	
	5-day posts	
	2-day posts	
M.3.	Number of employees for 8-hour coverage	
	7-day posts	1.77
	5-day posts	1.26
	2-day posts	0.5
	<b>Option: Staffing Enhancement after Turn-Over</b>	
N.	Staffing Enhancement to Accommodate Turnover	10.70%
O.	Additional Employees needed to cover (1) 8-hour shift (M x N)	0.19
P.	Number of Employees for (1) shift, 7 days per week (M + O)	1.95



# SCDC INSTITUTIONAL SECURITY STAFFING ASSESSMENTS

March 2018

## **Broad River Correctional Institution**

The Broad River Correctional Institution (BRCI) is a state operated level 3 facility located within the Broad River Complex in Columbia, South Carolina. The facility was originally opened in 1988 and serves as one of South Carolina's maximum-security adult male correctional facilities. The operating capacity at Broad River is reported as (1,435) and the average daily population during the last six months of 2017 was (1,354). One wing of a housing unit was not being used during the reporting period reducing the current operational capacity.

While most of Broad River's inmate population are considered maximum custody an average of 17% of the inmates housed at the facility have a custody level of 2 (medium) or lower. The institution provides housing and services for general population and a diverse group of special needs inmates including the Restricted Housing Unit, Statewide Safekeeping, Crisis Stabilization Unit, Area Mental Health and Medically Dependent Services. At the time of the review approximately 23% of the inmate population was on a mental health caseload.

In 2016 the department implemented a 32-bed Crisis Stabilization Unit (CSU) at Broad River to centralize medical and mental health care for adult males who have reported or demonstrated an increased risk of self-harm and/or suicide. During FY 17 there were (668) inmates admitted to the Broad River CSU.

Program services are available and integrated into the daily facility schedule which includes ABE/GED, Religious Services, Character Program, Anger Management, Crisis Stabilization, Dialysis, Mental Health Services, Volunteer Services, Sex Offender Treatment, Alcohol and Drug Education, General Library, Law Library, Recreation, Visitation, Canteen and the Prison Industry Program.

The facility operates as a maximum security correctional institution and is surrounded by a double perimeter fence reinforced with multiple layers of razor ribbon, concertina wire, electronic surveillance equipment, roving perimeter patrol, high-mast lighting, vehicle access gate and an alarm detection system.



Inside the perimeter of the facility are a variety of buildings, equipment and open space available to help meet existing facility responsibilities.

The physical plant contains the following: Front Gate/Vehicle Access Gate; Administration Building; Main Control; Secure Personal Property Storage; Visitation Area; Support Services Building; Medical; Maintenance; Education; Multi-Purpose; Greenhouse; Cafeteria; Execution Chamber; Prison Industries; Dialysis Building and seven Housing Units. Expansive internal movement control fencing, gates and security surveillance cameras are available throughout the interior of the facility.

Food Services are normally provided to the general population inmates in the main cafeteria which is in the Support Services area.

All inmate movement was considered controlled movement and the type of movement varied based on the inmates' classification, the purpose for the movement, destination and time of day. A combination of line movement (food services), escorted, supervised and the use of passes (OTR's) was all being used.

### Housing Unit Designs

There are three primary housing unit designs at BRCI. All the housing units contain secure cells as dormitory style housing is not available at this facility. The housing unit designs are consistent with nationally recognized practices for a level 3 facility and include both direct and indirect supervision units. In total there are seven housing units at BRCI.

- Four of the units are designed as **indirect supervision** units and were being used to house general population inmates on the day of the site visit. Primary staff working space is located outside the living area. One wing in *one* of the units was being used to provide housing, programming and services for inmates assigned to a Life-Style Change program referred to as the "Character-Based Program". Each housing unit contains double occupancy cells located in one of two multi-level wings. All the cells have a toilet and wash basin and showers are in the common area within the wing. In the front center of the building is a secure sally port which contains staff office space. This area is located directly adjacent to the housing unit wings and adjacent to the entrance of the unit. Secure outdoor recreation space is available immediately in front of each housing unit. Staff reported to centralize programs and services, in November 2017 one of the housing units had been identified to house outpatient/area mental health inmates that had previously been assigned to several different level 3 facilities.
- In addition to the four indirect supervision units there are two units, which staff described as "Starship" in design. Officer work stations are located both within the living area as well as outside the living area immediately adjacent to the inmate living space. The common area also provides a conference room, interview space and medical/exam area. The units were designed to have officers stationed in the living area. The housing unit contains two wings (living area) and secure cells located on both the ground floor and mezzanine level. The wings contain a dayroom, an officer work station, showers, program space and passive recreational opportunities. In total between the two units there are four housing wings. One wing was being used as the **Crisis Stabilization Unit**, one wing was empty on the date of the site visit, and two wings were being used to house medically dependent inmates.

- The remaining housing unit is the **Restricted Housing Unit (RHU)**, which provides inmate housing in (2) two-tiered wings. A secure control room is strategically located in between the two wings to allow dedicated support to the wing officers. The control room contains a video monitor, security equipment, radio/telephone and an access control panel that operates the secure doors within the unit. The Restricted Housing Unit (RHU) is designed to house inmates requiring more intense behavioral levels of supervision. These inmates are housed and programmed in a separate wing from other inmates housed in the unit. This housing unit is a staff intensive area that requires secure detailed movement control and inmate separation. On the Lock-Up side facility policy requires a minimum of two staff to be present when opening a cell door, escorting an inmate and staff to be present when an inmate is on the recreation yard.

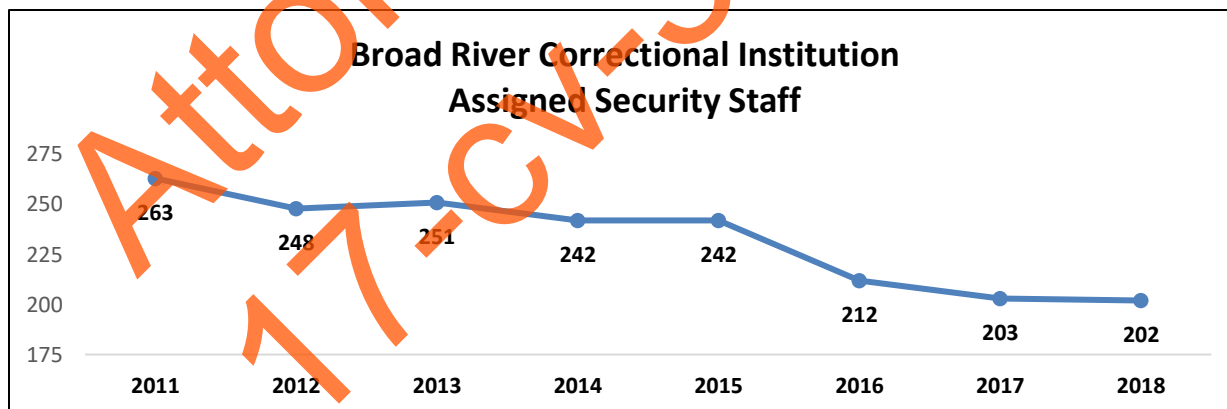
In a separate wing within the RHU are inmates assigned to statewide-safekeeping status where they are housed and receive appropriate programs and services.

### Security Staffing Profile

On the date of the site visit (October 11, 2017), there were (215) full-time security staff positions filled. The approved *funding level* was (272) and the recognized *authorized strength* was (302). The approved *funding level* is the number of personnel in each position classification approved by the department to be filled. The *authorized strength* is the current recognized number of security positions identified to operate the facility safely. The *authorized strength* number is determined by the SCDC Division of Security based in part on feedback from facility management personnel.

Security staff vacancies have been a serious concern at Broad River for an extended period. Broad River security staffing levels have decreased substantially since the beginning of calendar year 2011. In January 2011 the reported security staffing level was (263). This was the high point for the seven-year period from January 2011 to January 2018. On October 11, 2017 the date of the on-site assessment the reported security staffing level was (215); representing forty-eight fewer staff than available in January 2011 and 79% of the approved funding level for security positions.

As shown in the following chart there has been a continuous decline in the number of filled staffing positions at Broad River from January 2015 to January 2017. The figures shown below in the chart identify the **total number of filled security positions** reported on January 1 of each year.



Source: SCDC RIM

## Recent Staffing Trends

In respect to recent staffing trends the following chart depicts the average staffing levels for the period from July 1, 2017 to December 1, 2017. The facility was operating at a level where on average there were approximately (71) funded positions that were not being filled. These were funded positions that had been approved by the department. In respect to the recommended *authorized strength* level the facility was operating with an average of (101) positions unfilled during the same reporting period.

The chart below identifies the **average staffing levels** by position classification during the reporting period of July 1 through December 1, 2017. Front-Line positions identified in the chart include cadets, officer I/II's and corporals.



As reflected in the chart, the largest number of vacancies (62%) was found in the front-line positions. These are positions that normally have the most frequent direct contact with inmates and routinely include posts such as housing units, inmate escorts, hospital coverage, transportation and direct security within a specific area.

In total when considering security staffing levels, the facility has operated at approximately 73.9 percent of the approved funding level during the reported period. As a result of staffing levels, all post assignments are not routinely being filled and workload responsibilities are not being completed as designed based on the established staffing plan.

## Operational Initiatives in Response to Staffing Levels

Based on staffing levels facility management personnel have deviated from the original staffing plan and implemented several initiatives to maintain minimum operations at the facility.

These initiatives include the following:



- **Staff responsibilities are expanded beyond the established post order.** Each post assignment includes a written post order that describes the normal responsibilities associated with the post (OP-22.24)<sup>14</sup>. Under normal circumstances security staff are responsible for one post at a time. Because of limiting staffing levels, staff assigned to existing posts are routinely required to be responsible for meeting both their assigned responsibilities and responsibilities of an additional post. This often results in fewer inmate escorts, delays and or cancellations in program and service delivery and labor-intensive tasks often not being completed;
- **Staff are augmented to leverage existing personnel resources.** Since 62% of the total vacancies were in the front-line staff positions staff outside those position classifications are frequently required to fill line staff post assignments. A review of daily shift assignment rosters reflect sergeants, lieutenants, captains, counselors and unit managers are routinely used to meet front-line staff post assignments, limiting the amount of time available to supervise or perform their normal responsibilities;
- **Shift Supervisory personnel routinely work 14-15 hr. days.** To meet existing responsibilities, shift supervisory personnel routinely arrive prior to the start of their assigned shift, review staff availability, facility schedules, workload, manage the shift and remain after their shift is normally over to ensure effective communication and staff coverage. Lieutenants and captains are considered exempt employees and are not eligible to receive overtime compensation;
- **The facility is placed on full or partial lockdown to limit movement outside the cell and reduce staff workload.** During the first eleven months of calendar year 2017 the facility reported they were on full or partial lockdown a total of (128) days due to staff shortages. This resulted in limited access for the inmate population to programs and services during those days;
- **Personnel are often compensated at an overtime rate to complete required staff training.** Uniformed security personnel are routinely scheduled to complete required training on their off-days resulting in additional overtime expenditures. Traditional practices include relieving staff from their post assignment and/or shift to complete training at straight time;
- **Post Assignments go unfilled.** A review of daily shift assignment rosters from July 2017 through September 2017 reflect all post assignments in the housing units, front gate, cafeteria and yard are not routinely being filled;
- **Filling Mandatory 24-hr. post assignments intermittently.** The Division of Security has developed a post chart as a guideline to identify post assignments required to be filled and when they are to be filled. Existing operational practices frequently result in all posts not being filled and staff assigned to non-stationary posts, intermittently filling posts such as the yard and medical posts only during peak hours;
- **One housing unit wing was closed.** One housing unit wing in the unit referred to as “Greenwood” was closed during the review period in part due to limited staffing levels;

<sup>14</sup> SCDC Policy OP.22.24 Post Orders.

- **Staff assigned to 8 or 12-hour shifts do not consistently receive meal breaks.** Most staff assigned to the shifts rarely receive a recognized break from their post assignment during the shift because of limited staffing levels. Federal (Fair Labor Standards Act) and state labor laws do not require the employer to provide a meal period or break to employees, however SCDC policy does.

*SCDC Policy ADM-11.21 Regular Working Hours and Overtime cites in section 1.1: The official work schedule for security positions will be either 1.1.1 eight (8) hour shifts or 1.1.2 twelve (12) hour shifts on a 28-day cycle, including at least one 30-minute meal period each shift;*

- **Staff initially not scheduled to work fill vacant post assignments often at an overtime rate.** Overtime expenditures have continued to increase significantly during calendar year 2017 when compared with 2016. During the first eleven months of 2017 the facility reported \$843,046 (rounded) in overtime expenditures. In 2016 during the same reporting period the facility reported \$505,397 (rounded) in overtime expenditures. Most of the overtime is the result of staff not initially scheduled to work filling required post assignments, providing transports and hospital coverage, attending required training and filling a post assignment because of late reliefs. At Broad River shift command staff reported the extensive reliance on overtime to fill post assignments was impacting morale and staff's ability to effectively supervise the inmate population;
- **Limit Inmate Movement after 7:00 pm.** Inmate movement during the evening hours normally after 7:00 pm is primarily limited to address medical related needs; and
- **Staff assigned to the 12-hour shifts are routinely scheduled to work a minimum of 168 hours in a recognized 28-day pay cycle.** Staff working the additional 8 hours are compensated at straight-time for working the 8 hours. Initial Department practice was to provide staff assigned to the 12-hour shifts, 8 hours off per pay cycle; however, this practice was no longer occurring. Staff assigned to the 8-hour shifts are routinely scheduled to work (160) hours in the same recognized pay cycle.

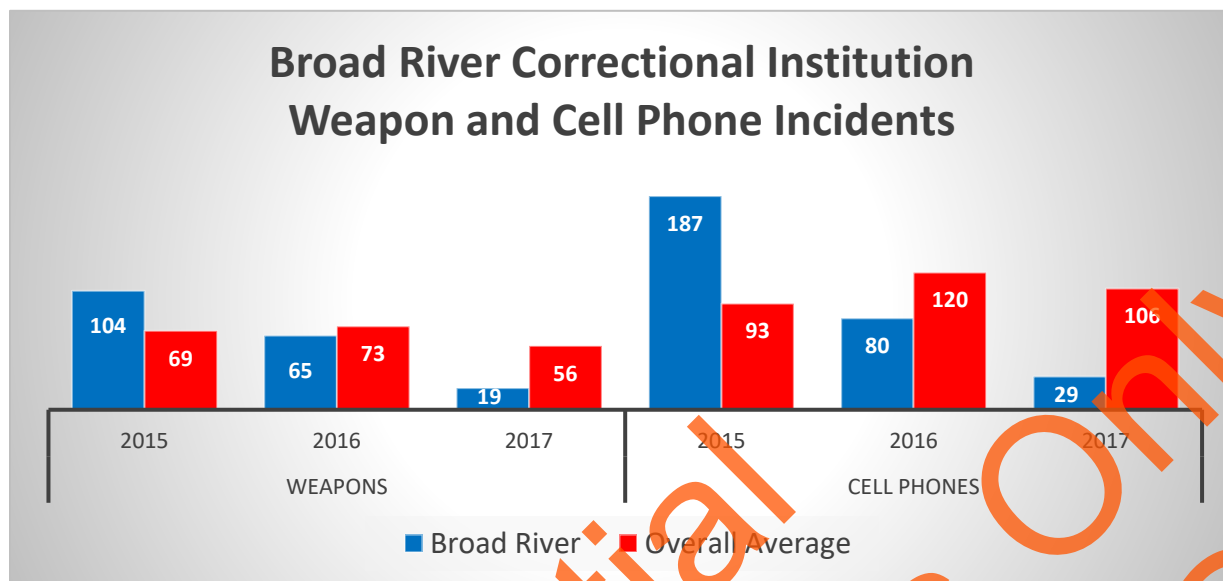
#### **Demonstrated Risk Factors**

**Contraband Incidents.** The introduction and presence of contraband in a correctional facility has always been an issue and a primary management concern in operating a facility. It often leads to unauthorized movement, destruction of property, compromised staff, public trespassing, criminal activity and violence. At Broad River there has been a history of weapons used to stab inmates. Reports reviewed reflected an inmate death occurred at the facility in 2009 as the result of a stabbing.

As shown in the chart, weapons and cell phone related incidents have decreased each year during the past three years. The volume of weapons and cell phone related incidents during 2017 at BRCI has been less than half the average reported for the other facilities reviewed in this project. Staff deployment rosters identify three staff assigned to contraband control at the facility.



## Broad River Correctional Institution Weapon and Cell Phone Incidents



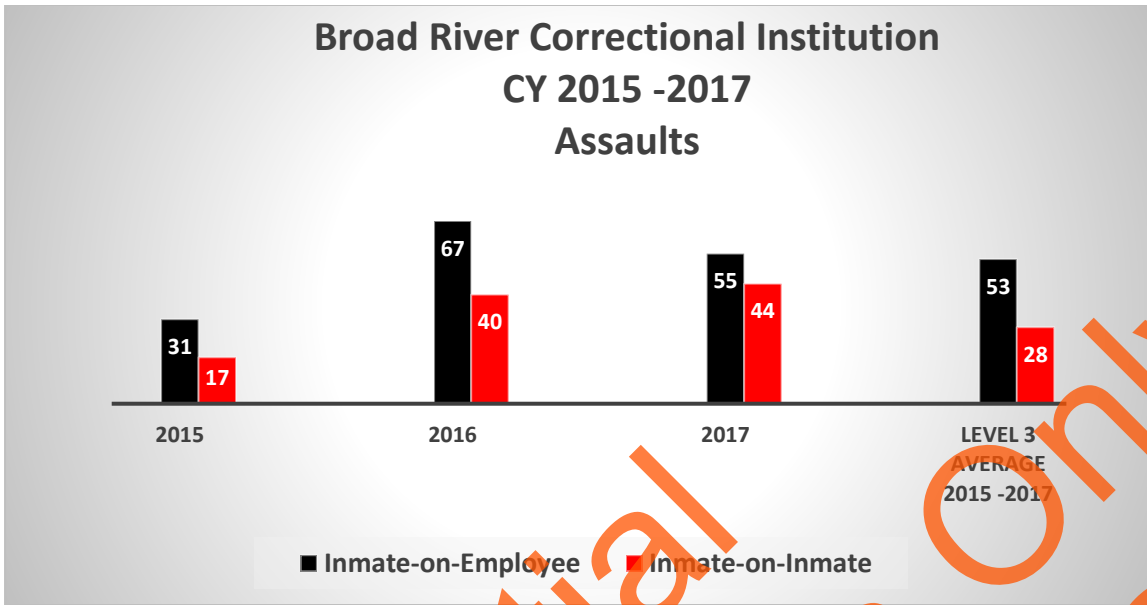
Source: SCDC RIM

The Director has been at the forefront on a national basis calling for federal support to repeal federal laws to allow cell phone jamming in correctional facilities. The Communications Act of 1934 and the Telecommunications Act of 1996 prohibit the operation of cell-phone jamming equipment by any person, including state and local officials.

**Assaults.** A second risk factor that is often associated with staffing levels is the number of assaults that occur at a facility. The number of staff, staff training and the experience level of staff is often referenced as one of the causes of prison violence. Although there is no internal or external study that supports insufficient staffing as the cause of violence, in many cases it may be considered a contributing factor. Having a sufficient number of well-trained knowledgeable staff assigned to appropriate locations should be the goal of every facility. The conjecture is that if properly trained staff were present and available as identified in the recommended staffing plan, the chances an incident resulting in an assault occurs may not be as high. This may not always be the case however it should be considered a fair assumption.

It has been my experience, most but not all inmates when contemplating committing an assault look for opportunities to carry out the act without being detected. Having a total of two staff assigned to a 250-bed unit housing maximum custody inmate containing limited to no electronic surveillance support or having one to two staff members on the courtyard during movement periods creates an environment where the perceived opportunity to commit an assault, if interested, can initially go undetected. This appears to be the case at Broad River. There is simply not enough staff supported by available surveillance equipment to consistently cover all the required areas and send the message to the inmate population that when involved in criminal activity, the risk of being apprehended and the penalty for the same will be great.

At Broad River the number of assault related incidents reported in 2016 and 2017 was more than the overall average reported for the other level 3 facilities. This included both assaults to employees and inmates. The chart below reflects assaults occur at a higher than acceptable level. This should be considered a possible contributing factor to staff turnover rates and staff retention rates.



Source: SCDC RIM

### Key Staff Positions

Administration. The approved administrative core positions for the facility include a superintendent (Warden) and two assistant superintendents (Associate Warden of Operations/Assistant Warden of Programs). The warden at the time was initially interviewed at the beginning of the assessment and debriefed prior to the completion of the on-site phase of the review. Since the initial on-site assessment, the warden has retired and been replaced with a veteran corrections employee.

Supervisor Posts. The Major is the top uniformed security position at the facility. This position is routinely considered the Chief of Security and reports to the associate warden of operations. On the day of the site visit the major position was filled. The individual in the position was an experienced corrections professional who had been in their current position at BRCI for less than two months.

Each of the (4) 12-hour shifts are supervised by a captain who normally is assisted by lieutenants. When the shift commander is off the lead lieutenant assumes supervision of the shift. The shift supervisor is responsible for overseeing shift operations, deployment of security personnel and meeting facility security needs. Each of the (4) 12-hour shifts also have sergeants available to assist in staff supervision.

The 12-hour day shift starts at 6:45 am and is scheduled to conclude at 7:00 pm. Each shift includes an employee paid fifteen-minute shift briefing prior to proceeding to their assignment.

In addition to serving as shift commanders and assistant shift commanders, the 12-hour shift lieutenants are primarily used as the on-site restricted housing unit security supervisor and yard supervisors when available. Current operational practice reflects that during the 12-hour shifts the sergeant position is primarily used to assist in housing unit supervision, yard coverage, provide front gate supervision and when needed provide inmate supervision at the Palmetto Richland Memorial Hospital.

BRCI also applies a “blended” scheduling model that includes additional staff working an 8-hour shift, which is often referred to as *C-Card*. This shift is supervised by a lieutenant. The “blended” model generally allows for the concentration of staffing levels to be available at times when the workload and activity levels are generally higher. The objective of the blended schedule is to make more efficient use of available staff resources by having personnel available in the most beneficial areas at the most appropriate times.

At Broad River supervisors working an 8-hour shift are normally assigned to one of the following areas: *C-Card* Supervisor; Environmental Health and Safety; Crisis Stabilization Unit; Medical Housing; Transportation; Restricted Housing Unit; Armory; Front Gate; Contraband; Operations; Training; Compliance; Key Control; Unit Managers/Counselors and Yard. Most staff assigned to the 8-hour shift are scheduled to work from 8:00 am to 4:00 pm Monday through Friday; however, various starting and ending times are applied to maximize coverage to best meet the needs of the facility.

In each of the housing units at BRCI a scaled down version of the Unit Management concept has been adopted. Unit Managers have been appointed that include both captains and lieutenants. These non-uniformed supervisors serve as housing unit administrator and are responsible for managing activities and staff assigned to a specific housing unit. Working with the unit manager is normally a sergeant who serves as the assistant unit manager of the housing unit and as a counselor to inmates assigned the unit.

Due to the limited number of front-line staff available and the workload responsibility associated with operating a housing unit staff assigned as the unit manager and counselor often deviate from their designated roles to fill a more traditional officer and/or sergeant role to address fundamental operating issues.

The unit management concept is a nationally recognized best practice when sufficient personnel are available, ongoing training is provided and assigned personnel consistently perform their responsibilities. At BRCI the unit management model was not effectively being applied primarily due to limited personnel resources and the impact available staffing levels was having on the ability of unit management personnel to consistently focus on their responsibilities.

In reviewing the recent reporting period of July 2017 to December 2017 on average approximately 27% of the filled security positions were considered supervisory positions. The approved funding level for security supervisors at BRCI allowed for (81) positions of which (54) were filled. All the vacancies were in the sergeant and lieutenant positions. The warden reported that there had been limited interest by qualified candidates in filling the vacant supervisory positions. Key contributing factors reported for the lack of interest included the additional work hours required, the lieutenant position not being eligible for overtime and the perceived lack of interest in being responsible for supervising areas where insufficient personnel were available.

Front-Line Security Staff. For this study, front-line security staff positions include cadets, correctional officer I/II's and corporals. Cadets are uniformed personnel 18 to 20 years of age that have not received all the firearms training and are limited in where they can be assigned. Correctional Officer I/II's are the traditional front-line security member age 21 and over and when certified may normally be assigned to any front-line staff post. Corporals are non-supervisory lead officers with a minimum of 18 months experience that may be assigned to any line staff post within the facility. Individuals in these positions normally serve as the lead employee when two or more front-line staff are working together. For the most part, based on current practice and existing staffing levels, the officer I/II's and corporals are frequently interchangeable when considering post assignments.

A review of front-line security staffing levels shows a significant number of line staff had been hired on a consistent basis starting in August 2017. A department-wide effort appears to have been implemented to significantly increase the number of staff available at the facility. Based on the number of new staff it appears the department has been successful in increasing the number of available FLS staff at BRCI.

On the date of the site visit over sixty new security staff had been assigned to Broad River that had either not started basic training, were attending training at the academy or had recently returned from the academy. All these non-certified staff had been hired within the past ninety days. Staff that have not completed basic training are considered non-certified employees and are not available to fill a post assignment by themselves. Non-certified personnel pending the completion of basic training at the academy are primarily used to work along-side certified personnel on post assignments.

Key post assignments where front-line staff are normally assigned include the following: Front Gate; Main Control; Perimeter Patrol; Transportation; Prison Industries; Vehicle Gate; Rover; Access Gate; Contraband Control; Cafeteria; Yard; Visitation; Education; Inside Grounds; Medical; Wagon Wheel; Operations; Housing Unit Control Room; Housing Unit Wing; Hospital Coverage; Recreation; Dialysis; Property Control; Outside Grounds Maintenance; RHU Entrance; Armory; Escort and Tool Room. Some of these positions are required to be filled 24-hours per day, seven days per week, while others may be required to be filled for 12-hours, 10-hours, 8-hours or less per day ranging between two and seven days per week. Shift schedules are designed to allow for the concentration of security staffing levels to be available at times when the workload and activity levels in a specific area are generally higher.

For example, the Tool Room in the maintenance department operates five days per week for up to eight hours per day. As result security personnel are assigned five days per week, eight hours per day. Security personnel are normally required to be assigned before, during and after inmates are present in the building. In comparison the Main Control post, which operates the electronic door access control panels, distributes security equipment, provides remote visual back-up support and serves as the primary communication hub for the facility is appropriately required to be staffed 24-hours per day, seven days per week.

In reviewing the recent reporting period of July 2017 to December 2017 on average approximately 73% of the filled security positions were considered front-line security (FLS) positions. The approved funding level for FLS staff at BRCI allowed for (191) positions of which on average (147) were filled.

### **Roster Management**

Roster management and staff scheduling at BRCI are considered essential elements in the daily operation of the facility. In-house roster management for security positions are performed primarily by the major in concert with the shift commanders.

A post chart has been developed by the *Division of Security* as required by policy to identify recommended staffing levels and to guide facility personnel on where and when to fill identified post assignments. In addition, minimum staffing levels have been established for the 12-hour day and evening shifts. At Broad River, the 12-hour minimum staffing level established by the *Division of Security* for the day shift is (30) and for the evening shift is (25). A review of the sample daily rosters provided reflected the facility was consistently not able to meet the minimum established staffing standards.

On the date of the on-site assessment there were fewer than (30) staff assigned to either of the 12-hour day shifts and fewer than (25) staff assigned to either of the evening shifts.

Shift Assignments. A review of the master shift assignment roster showed personnel were primarily assigned to one of five shifts. The (4) 12-hour shifts reflected a relatively balanced division of staff in both numbers and position classification between each shift. The two alternating 12-hour day shifts start at 6:45 am and are normally scheduled to conclude at 7:00 pm. The two alternating evening shifts start at 6:45 pm and are normally scheduled to conclude at 7:00 am. Each 12-hour shift includes an employee paid fifteen-minute shift briefing prior to proceeding to their assignment.

The 8-hour shift includes a mix of supervisory personnel and front-line staff. Facility support areas such as Shift Supervisor; Transportation; Contraband Control; Training; Unit Management; Environmental Health and Safety; Operations; Property Control; Compliance; Dialysis; Medical; Moultrie Medical; Inmate Escort; Education; Prison Industries; Grounds Maintenance; Key and Armory. These post assignments are generally filled during the day-time hours. The 8-hour shift makes up the largest single shift in respect to number of assigned staff when compared with the (4) 12-hour shifts.

Daily Shift Roster. Daily shift rosters are also maintained that identify in more detail the actual staff assigned by day, their post assignment and scheduled staff on leave. The daily shift rosters are designed to document how scheduled personnel are utilized and provide staff accountability. Daily shift rosters should be managed as essential documents that will assist the department in identifying post coverage trends. Initial manual daily rosters are developed and later entered into an automated electronic management system.

Post Coverage. By memorandum from the *Division of Security*, post assignments should be classified as either, Pull Post Level I, Level II, or Level III (mandatory) to assist shift supervisors when determining which posts can be temporarily collapsed or closed due to staff shortages, emergencies, overtime reduction efforts or other reasons deemed necessary by the shift commander or facility management. The classification of post assignments is designed to ensure certain post are shut down first.

Due in part to limited available staffing levels the need for post classifications to be identified is not as critical as when staffing levels allow additional posts to be filled. A review of completed daily rosters revealed staff were being assigned to critical areas and there was no evidence staff were being assigned to posts that could be closed while mandatory posts were being left unfilled. In reviewing **sample daily shift rosters and interviewing staff** at the facility it appeared all the mandatory posts identified in the *Division of Security* post chart were not consistently being filled during the entire shift.

The discrepancy between operational practice and recommended mandatory posts was primarily in the number of posts being filled when more than one post is identified in the post chart. For example, in the post chart the *outer perimeter patrol* post is identified as two posts to be filled on a 24/7 basis. Based on staff interviews and a review of completed daily shift rosters one post is normally filled instead of two. Additional discrepancies between the operational practice and recommended level III (mandatory) posts include the following:

- Front Gate. The front gate post appeared to be consistently filled; however, not by (2) staff on a 24-hour basis;



- Front Gate Control Room. Based on a review of completed daily rosters and on-site observation (3) staff are not consistently assigned to the Front Gate Control Room;
- Main Control. The main control post appears to be always staffed, however not by two staff on a consistent basis during the day shift;
- Housing Unit Officers. A total of eleven FLS staff are recommended by the department for the five general population housing units. Completed daily rosters reviewed reflected there were never more than two FLS staff assigned to each of the five housing units at the same time. Normal operating practices reflected between one and two staff were assigned to a general population housing unit and during select peak periods they were supported by assigned unit management personnel; and
- Restricted Housing Unit Wing Officers. Three officers were not consistently provided to the Restricted Housing Unit as Wing Officers. Normal operating practices reflected unit management personnel were often directly involved in meeting daily FLS staff responsibilities as FLS wing officers ranged from one to four based on completed daily rosters.

At Broad River the basic elements of a roster management system including the identification of post assignments, recommended staffing levels, shift scheduling and daily shift roster development are all in place. However, due to staffing levels, documentation and the frequent use of intermittent post coverage the system warranted modifications.

The primary concerns with the system include the following:

- The post chart needs to be updated to reflect current workload responsibilities. As an example, there is no allowance for staff to be assigned to an Outside Hospital detail. For a one-year period from December 2016 to November 2017 BRCI averaged 4.1 security staff per day on each shift to provide hospital coverage. This results in underestimating the staffing needs of the facility;
- The recommended minimum staffing levels for each 12-hour shift needs to be updated. Daily shift rosters reflected minimum staffing levels were not being met on a consistent basis due to available staffing. Core positions need to be identified and based on the number of post eligible staff minimum post requirements should be identified and clearly communicated at the facility; and
- Daily shift rosters need to be updated to reflect to ensure all staff assigned to the shift are identified on the daily roster. The daily roster should identify the names of all staff assigned to the shift, the approved post assignments, the post classification, post closures and the employee assigned to each post. Staff assigned to posts for less than a full shift, detailed to a special assignment, working extra hours or using benefit time should be clearly identified on the daily roster. In addition, a recapitulation table should be provided on each daily shift roster.

### Staffing Recommendations

The most significant concerns expressed by facility personnel during the on-site review involved the impact available staffing levels were having on the operations of the facility. This included both supervisory and front-line positions.

On the date of the site visit there were 24 funded lieutenant positions of which 15 were filled. Staff reported that most potential candidates do not consider the lieutenant position an attractive position, due in part to their inability to receive overtime pay, the requirement of the position to frequently work 14-15 hours a day, the limited number of front-line staff available to assist in meeting shift responsibilities and their lack of desire to be held accountable for managing a shift that is overworked and understaffed. In addition to the lieutenant vacancies there were (20) sergeant vacancies out of (50) funded sergeant positions. Based on the experience level of most of the front-line security staff, the warden at the time indicated he was holding off on filling some of the sergeant positions until selected staff were better prepared for the position.

An additional concern presented by staff was the impact hospital transport and hospital coverage were having on shift operations. Staff reported that based on the staff deployment matrix established to provide coverage at the Palmetto Hospital – Richland (PMHR) Broad River is to assist in providing staff coverage of inmates assigned to the hospital. When there are at least three inmates at the hospital, Broad River is responsible for providing two staff. When there are six inmates, Broad River is responsible for providing at least four staff and when there are at least ten inmates at the PMHR Hospital at least six staff are required. A review of 17 random daily shift assignment rosters from July through October 2017, reflected between two and eight staff were being used to provide hospital coverage on each shift. Workload responsibilities from December 2016 through November 2017 reflect an average of 4.1 staff from Broad River were used daily for the night shift only.

On the night shift (7:00 pm – 7:00 am) staff from the 12-hour shift are primarily responsible for providing hospital transport/coverage. During the day shift (7:00 am – 7:00 pm) a combination of staff from both the 8-hour and 12-hour day shift are used to provide hospital transport and coverage. This additional staff responsibility has resulted in post assignments from both the 12-hour shifts and 8-hour shift to close at the facility that would have normally been filled. The posts most often closed include housing units, yard, contraband control and cafeteria. There were no outside hospital posts allotted for Broad River in the post chart; however, the facility shares the workload responsibility.

### Post Assignment Enhancements

The following additional post assignments identify both essential and critical posts that normally are not being filled at a recommended level and based on fundamentally sound correctional practices when taking into consideration the mission of this facility should be filled.

**Medical.** On the day of the on-site visit, (Wednesday 2:00 pm) access to the medical unit was provided by a nurse. There were no security personnel assigned to the medical unit. Current staffing plan is to have an 8-hour (C-Card) officer assigned from 5:00 am – 1:00 pm and 1:00 pm to 9:00 pm Monday through Friday. Medical staff, including the medical administrator and head nurse, reported the afternoon/evening security post is rarely filled.

A review of the daily rosters provided, supported the fact security staff are not consistently being assigned to the medical unit. Activity in and around the medical unit normally starts at 3:30 am with Insulin lines and continues throughout the day with Lab, Pill lines, Sick Call, Dental, Doctor Clinics/appointments, Chronic Clinics and concludes with repeated insulin and pill lines. Operational activities in the medical unit normally involve civilian medical personnel in contact with maximum custody inmates.



This should be considered a core post that is required to be staffed whenever inmates are present. The updated recommended post chart includes the addition of security personnel for the medical unit.

**Court Yard.** The Broad River Correctional Institution is a campus-style facility with seven housing units, programs and service areas surrounding a large courtyard. To get from the housing units to most program activities and services inmates are required to walk through the courtyard which includes interior fencing and gates. The gates were locked on the day of the site visit and the interior fence lines were approximately 12 feet high. All authorized movement at this maximum-security facility is controlled movement. It is essential and a fundamentally sound correctional practice in a maximum-security facility, that security staff be present to monitor, control access and authorize inmate movement.

When sufficient staff are not available to operate a gate, delays can occur. Slowing down and controlling movement in most circumstances is highly recommended, creating unnecessary delays or long delays can lead to security concerns. Staff need to be present not only to control gates but to monitor pill-line windows, canteen lines, commissary and food services where inmates congregate while waiting for access.

Courtyard security personnel are also required to be readily available and accessible to provide access to/from the Moultrie/Greenwood Access Gate. The courtyard consists of a large space which is the primary path to most housing, programs and services. Extensive internal fencing and secure gates are located throughout the courtyard. A manual gate separates the courtyard from Moultrie/Greenwood housing units. Greenwood provides housing for inmates assigned to the Crisis Stabilization Unit and Moultrie provides housing for medically dependent inmates.

Based on the size of the facility and location of work, program and service areas in relation to the housing units dedicated yard officers should be consistently assigned to the courtyard to control access, monitor existing activity levels, provide internal roving physical plant security and to serve as responders.

**Post Relief.** In view of the available staffing levels at Broad River, staff assigned to the shifts do not normally receive a rest or meal break during their shift. There is usually no staff available to provide such relief. State and federal regulations do not mandate employers to provide breaks; however, SCDC policy does<sup>15</sup>. Under the current circumstances and based on existing staffing practices most front-line staff are not only filling one post assignment they are routinely filling two. The potential value and benefits of providing short breaks to staff filling post assignments should be recognized. The updated recommended post chart includes establishing "Security/Relief" posts that provide temporary relief to staff assigned to post assignments.

**Shift Relief.** The shift relief factor allowance is not fully reflected in current staffing levels. Security personnel time-off is generally covered through assigning overtime, closing posts, or redeploying staff from other designated post assignments. The recommended post chart includes the updated shift relief factor being applied to most post assignments, to recognize the importance of the associated post responsibilities, and to provide a staffing allowance during absences.

**Kitchen/Dock.** BRCI routinely requires supervisory personnel to assist in providing security supervision during meal periods. The cafeteria is divided into three primary sections, the dining area, serving line and kitchen. The kitchen contains a food preparation area, storage, office space and access to the loading dock.

<sup>15</sup> SCDC Policy ADM-11.21 Regular Working Hours and Overtime.

This area includes multiple blind spots, culinary tools, a high number of assigned inmates and access to outside the building including the dock areas for the cafeteria, canteen and commissary. Food service personnel are present in the area; however, their primary focus is on food preparation and getting the meals ready to be served. Dedicated security personnel are normally not assigned to the kitchen/dock area which should be considered a critical post and high-risk area. The recommended post chart includes (2) five-day, 8-hr. posts with staggered starting times to maximize post coverage.

**Housing Units.** The general population housing units when fully operational each have an operating capacity of 250. Approximately 83% of the inmates housed at Broad River are considered level III maximum security inmates. These are generally individuals with a history of violence with long sentences and/or inmates who have exhibited behavioral problems while in the system. The inmates are housed in one of two wings located within each unit. Each wing is separated by a common sally port that contains a secure entry/exit to the building, officer work space and entry into each wing. Visibility from this area into each wing is limited.

Actual staffing levels vary by shift, day and the availability of supervisory staff and unit management personnel. Based on the everyday responsibilities of an officer and the activity levels of each unit, the practice of having one officer assigned to provide security, custody and control of 250 maximum custody inmates is inconsistent with realistic expectations of what one officer can accomplish. The duties and responsibilities of a correctional officer assigned to a housing unit are expansive and often misunderstood. They range from establishing and maintaining open communication with the inmate population, to conducting inmate counts, escorts, access to program services, searches, supply distribution, supervision, writing reports to gaining intelligence. To accomplish these responsibilities, the number of staff assigned should be aligned with meeting those established responsibilities. Based on current staffing trends effective supervision in the housing units is not always being provided.

**CSU Staffing.** The crisis stabilization unit is located on one wing of the housing unit referred to as “Greenwood”. This is a medical and mental health care unit designed to provide housing, programs and services for a high-risk adult male population. The CSU is the department recognized unit designed to house male inmates who have reported or demonstrated an increased risk of self-harm. The high-risk inmates are housed on the ground level and trained inmate observers are housed on the mezzanine level of the wing. Some of the inmates (non-observers) assigned to the unit may be on restricted housing status while others may not.

Based on the type of inmate housed on the wing this should be considered a staff intensive security unit that requires elevated levels of vigilance and focus. Inmates assigned to the unit have demonstrated they are a high risk to commit self-harm and as a result are required to be supervised appropriately and provided access to programs and treatment while in the unit.

Programs, services and treatment may occur from 5:00 am to 9:00 pm seven days per week; however, most programs and treatment occur during the day shift, Monday through Friday. Security staffing levels need to be aligned with meeting the expanded responsibilities during the peak periods to allow non-security personnel the ability to focus on treatment and programming not strictly safety. Mental health techs have been assigned to assist, however not to replace, dedicated security personnel.

Current reported security staffing allowance calls for normally one floor officer, one escort officer and a security supervisor.

Based on existing facility policy current responsibilities are expansive. Two staff are required to be present when opening a restricted inmates cell door, one officer is to be within line of sight when an inmate is being interviewed by staff while in the same room, an officer is required to provide escort, an officer is to be on the recreation yard when occupied, and an officer is required to complete wellness checks of each inmate every 15-minutes.

In addition, traditional post responsibilities are to be completed including providing access to showers, conducting searches, building inspections, providing documentation, inmate counts, radio/telephone contact and being available to respond instantly. During the day shift three FLS staff are recommended to be assigned to the housing unit wing, one escort/support officer and one recreation officer.

### Shift Relief Factor (SRF)

An updated shift relief factor has been developed for Broad River based on data provided by personnel assigned to the Research and Information Management Division (RIM). The shift relief factor (SRF) represents the number of staff required to fill a post assignment throughout the year based on the number of hours the post needs to be filled divided by the number of hours the average employee assigned to the post is available.

Staff attendance, off-post hours and leave-time results are inputted into a department recognized electronic data base and transferred into an automated system that can identify the shift relief factor. The SRF electronic workbooks have been set up to allow the user to specify the institution and hours per shift which will automatically recalculate the SRF accordingly.

The SRF calculation for this project is based on the following:

- All security staff (cadets – major) who were assigned to the institution during the entire year;
- A blended work schedule, including the use of both an eight-hour administrative shift (160 hours) and the straight 12's (168 hours) schedule;
- An average of the three most recent completed years. This included 2015, 2016 and 2017. The purpose of evaluating data from the past three years instead of one year minimizes the chances the SRF will be influenced by one or more unusual factors or outliers.

At Broad River the use of "sick-time" increased significantly in 2016 compared to 2015. In 2015 the average full-term security employee used (54.25) sick-time hours, in 2016 (105.4) and in 2017 (99) hours.

- The SRF is reflective of the facility being fully staffed; and
- Most posts recommended are considered relief posts. Refer to Appendix A for the detailed formula used to determine shift relief factors and the post chart appendix to identify specific post assignments being recommended.

<b>Broad River Updated Shift Relief Factors</b>			
<b>Average 2015, 2016, 2017</b>	<b>8 Hour Shift 5-days</b>	<b>8 Hour Shift 24/7-Days (160 hrs.)</b>	<b>Straight 12-Hour Shift 24/7 days (168 hrs.)</b>
<b>Institution</b>			
<b>Broad River CI</b>	<b>1.3</b>	<b>5.45</b>	<b>5.03</b>

A shift relief factor of 5.03 can be translated to mean that for one year an average of approximately five staff (5.03) will be required to fill one 24-hour post assignment when applying the straight 12-hour shift schedule (168 hours). A five-day shift relief factor for one 8-hour post assignment requires an average of 1.30 staff (160 hours) throughout the year.

### Staffing Level Recommendations

A recommended post chart has been developed to identify the number of security staff recommended to meet the current mission of the Broad River Correctional Institution when fully operational. As the mission changes the staff requirement may also change.

The staffing recommendation is based on applying the following:

- A blended work schedule consisting of a 12-hour work schedule (168 hours) and an 8-hour (160 hours) administrative schedule;
- A 28-day pay cycle applying Section 7(k) of the Fair Labor Standards Act (FLSA) to determine the overtime threshold;
- A shift relief factor based on the most recent available three-year average leave-time and reported authorized time unavailable to fill a post, i.e. staff training, meal break;
- The facility fully operational including staffing all existing housing, program and service areas;
- The facility continuing to operate under the established policies and mission at the time of the review; and
- Taking into consideration security staffing related requirements as stipulated by national standards, court orders, settlement agreements, state and federal laws.

Broad River Correctional Institution Security Staffing Recommendations	
<i>Position Classification</i>	<i>FTE</i>
Major	1
Captains	6
Lieutenants	42
Sergeants	63
Front-Line Staff	264
<b>Total</b>	<b>376</b>

The recommended security staffing level for the Broad River Correctional Institution is 376. The facility had been operating at 53.5% of the recommended level during the reporting period. A detailed listing of recommended post assignments can be found in the Appendix.



## Kirkland Correctional Institution

The Kirkland Correctional Institution (KCI) is a state operated level 3 facility located within the Broad River Complex in Columbia, South Carolina. The facility was originally opened in 1975 and provides a wide variety of services for the South Carolina Department of Corrections. Additional housing has been added to the facility since it was originally opened.

KCI currently serves as the Men's Reception and Evaluation Center (R & E) in addition to providing housing and services for a variety of male inmates that have been admitted to the South Carolina Department of Corrections (SCDC). The overall combined operational capacity at KCI is reported as 1,910 and during the last six months of calendar year 2017 the average daily population was 1,835. The custody classification of inmates assigned to the main facility varies from level 1 to level 3. In September 2017 the department transferred male Death Row inmates from the Lieber Correctional Institution to KCI.

The mission of the facility includes the following:

- **Reception and Evaluation (R & E).** KCI is the only male R & E facility within the South Carolina Department of Corrections. All males admitted to the South Carolina Department of Corrections are processed initially through the KCI Reception and Evaluation Center. Kirkland receives, classifies and assigns offenders age 17 and above sentenced to 91 days or more. During FY 2017 there were 7,237 males admitted to the Department. The first nine months of calendar year 2017 an average of 606 inmates were being processed each month at the R & E;
- **Kirkland Max Unit.** KCI provides housing and program services for the designated Maximum-Security Unit that serves the South Carolina Department of Corrections. This specialized housing unit is where male inmates identified as potentially the most disruptive, dangerous and violent within the department are housed and receive access to programs and services. In addition, inmates with a sentence of death are assigned separately within the unit;
- **Kirkland Infirmary.** KCI provides a Department of Health & Environmental Control licensed 24-bed infirmary available for use by SCDC male inmates. Appropriately screened male inmates incarcerated throughout the department requiring infirmary placement are housed and treated at the KCI Infirmary;
- **Gilliam Psychiatric Unit.** KCI provides housing and services for adult male inmates screened and approved for placement at the SCDC licensed inpatient psychiatric care facility. This is a staff intensive therapeutic program that includes an 84-bed residential unit offering therapeutic programs, treatment and services for mental health inmates classified as Level 1;
- **Death Row.** On September 26, 2017 inmates on death row were transferred from the Lieber Correctional Institution to KCI and housed in the Maximum-Security Unit separate from non-death row inmates assigned to the same unit;
- **Restricted Housing Unit.** The Restricted Housing Unit is available to house inmates requiring more intense behavioral levels of supervision.



Additional security personnel are required to supervise inmates assigned to this unit. The inmates are housed and programmed separately from inmates assigned to the general population;

- **High-Level Behavior Management Unit (HLBMU).** The Behavior Management Unit at KCI is designed as an alternative to long-term segregation placement for inmates designated as having a mental health classification suffering from severe personality disorders and associated disruptive behaviors. The unit is designed to operate as a therapeutic program with a focus on disrupting a cycle of repeated disciplinary infractions resulting in frequent, repetitive sanctions that extends their segregation placement. This is a staff intensive unit that houses inmates with a higher security custody and documented history of being assaultive and aggressive toward inmates or staff;
- **Intermediate Care Services (ICS).** The ICS is a residential mental health program for inmates with persistent mental illness who require intensive treatment, monitoring and care. Structured and unstructured out of cell programming, as well as group therapy are essential parts of the program. Inmates assigned to the ICS were housed in two separate units based on their functioning level. A behavior-based level system is used to facilitate inmate adherence to program rules and to provide incentives for advancement through the ICS Program; and
- **General Population.** General population inmates are housed together in the same housing units at KCI and assigned to program services and work details throughout the facility.

KCI operates as a maximum security correctional institution surrounded by a double perimeter fence reinforced with razor ribbon, concertina wire, electronic surveillance equipment, sensors, armed perimeter patrol, high-mask lighting, vehicle access gate and an alarm detection system.

Inside the perimeter are a variety of buildings and services designed to meet existing responsibilities. The physical plant includes the following: A Secure Front Gatehouse; Armony; Administration Area; Main Control; Visitation Area; Infirmary; Medical Clinic; Reception and Evaluation Center; Medical Annex Building; Cafeteria; Back Vehicle Gate; Commissary; Canteen; Maintenance/Horticulture; Support Services and 14 different inmate housing areas.

Food services are normally provided to the general population and R & E inmates in the cafeteria.

All inmate movement was considered controlled movement and the type of movement varied based on the inmates' classification, the purpose for the movement, destination and time of day. A combination of line movement, escorted, supervised and the use of passes (OTR's) was all being used.



### Housing Unit Designs

The 14 inmate housing units at KCI represent six different building designs.

- Three of the housing units are multi-level units containing two separate housing wings. These units are designed as **direct supervision** housing units described by staff as “Starships” or “Green Tops”. The officers primary work station is located within the living area. Additional work space and interview rooms are provided in a common area immediately adjacent to the entrance sally port. Direct full visual observation into the living areas is not possible from the office space located in the common area. The living areas provide secure cells on both the ground floor and mezzanine level. In addition, each wing contains an appropriate size dayroom, showers, program/group space and passive recreational opportunities. Secure outdoor recreation space is located adjacent to each unit. The units are identified as F1, F2 and F3;
- Seven of the housing units located in what was referred to by staff as the “Horseshoe” are similar in design. Each unit contains two wings and two levels on each wing. A secure control room is located in between the two wings. Direct visibility into each wing from the control room is partially obstructed because of the building design. Security surveillance cameras are in some of the units, including the **High-Level Behavior Management Unit (HLBMU)** and **Restricted Housing Unit (RHU)**. This is a staff intensive unit that requires detailed inmate movement control and access to structured and unstructured program services. Each wing contains strictly cells. Showers, storage and dayroom space are also available on the wings outside the individual cells;
- One **indirect supervision** single story housing unit was being used to house general population inmates primarily assigned to the inmate work cadre for the facility. The housing unit contained two open bay wings clearly visible from an elevated open officer work station. Each wing had toilets, sinks, showers and dayroom space.

The work station was strategically located in the center of the unit to provide visual observation into each housing area. Additional office and group space was available within the unit;

- KCI also provides a **Department of Health & Environmental Control licensed 24-bed infirmary** which is located adjacent to the administration building. Appropriately screened male inmates incarcerated throughout the department requiring infirmary placement may be housed and treated at the KCI Infirmary. Housing options including secure single rooms, isolation rooms, two-person and larger open bay rooms were available on a single floor. Showers for most rooms are located off the hallway in the infirmary;
- **The Maximum-Security Unit** is a single-story building which includes a secure centralized control room surrounded by four housing wings. Each wing contains two side-by-side hallways. Wings are separated by secure gates and security glazing.

On each hallway there are secure cells on one side of the wing with double entrance doors and an individual secure vestibule provided for each cell. Toilets, wash basin, bed, lighting and a shower are in each cell. Visibility into each wing from the control center is gained through direct observation into the wing through security glass and by video monitors. Recreation space is available outside the cell adjacent to the building; and

- **The Gilliam Psychiatric Unit (GPH).** GPH provides housing on two wings with each wing containing cells on the ground and mezzanine level. All inmate housing is provided in cells as there is no dormitory style living within the unit. Each cell contains a toilet and wash basin and each wing has showers, a dayroom and passive recreation space. A secure centrally located control room was available within the unit to provide added security, visibility into the two-tier wings and security support. The conversion of two cells on each wing into nursing stations was nearing completion during the reporting period. Outdoor recreation space is provided as well as additional staff interview space outside the housing unit wings.

### Program Services

In addition to providing a secure environment, varying degrees of program services and opportunities are available to the inmate population depending upon their individual classification and status. These program services have been integrated into the daily facility schedule. Such programming and services include: ABE/GED; Columbia International University (Associates Degree); Psychiatric Hospital; Intermediate Care Services; Horticulture; Commissary; Hobby Craft; Infirmary Care; PREA peer education; Mental Health Services; Behavior Management Program; Medical Clinics; Library Services; Mental Health Services; Religious Services; Visitation; Computer Lab; Recreation, Volunteer Services and Life Skills.

### Security Staffing Profile

On the dates of the site visit (October 9 and 10, 2017), there were (302) full-time security staff positions filled. The approved *funding level* was (342) and the *authorized strength* was (407). The approved *funding level* is the number of personnel in each position classification approved by the department to be filled.

The *authorized strength* is the current department recognized number of security positions required to operate the facility safely. The *authorized strength* number is determined by the *Division of Security* based in part on feedback from facility management personnel.

Security staff vacancies have been a concern at Kirkland for an extended period. In January 2011 the reported security staffing level was (318), which was considered a seven year high from January 2011 to January 2018. On January 1, 2017 the reported staffing level was (274), a 13.8% decrease from the level reported in January 2011. Staff reported the workload responsibilities have generally increased in the past six years, including providing housing for specialized populations, such as Death Row, Behavior Management Unit, ICS and expanding infirmary services. In addition to housing specialized populations the facility is providing additional hospital coverage for inmates admitted to the Palmetto Richland Memorial Hospital which has impacted workload responsibilities. The departments recognized authorized strength has also increased during this period from (342) in 2011 to (407) in 2018.

As shown in the chart there had been a continuous decline in the number of staffing positions filled at Kirkland from January 2015 to January 2017. The figures show the total number of security positions reported on January 1 of each corresponding year.



Source: SCDC RIM

The most recent increase in security staffing reflected in 2017 is primarily the result of an increase in the number of front-line security (FLS) positions. During calendar year 2016 the facility averaged (186) filled FLS positions. In March 2017 the number of filled FLS positions increased to (199) and continued to rise through August 2017 when it reached (223). Death Row was moved to Kirkland in September 2017. On January 1, 2018 the number of FLS staff was reported as (220).

#### Recent Staffing Trends

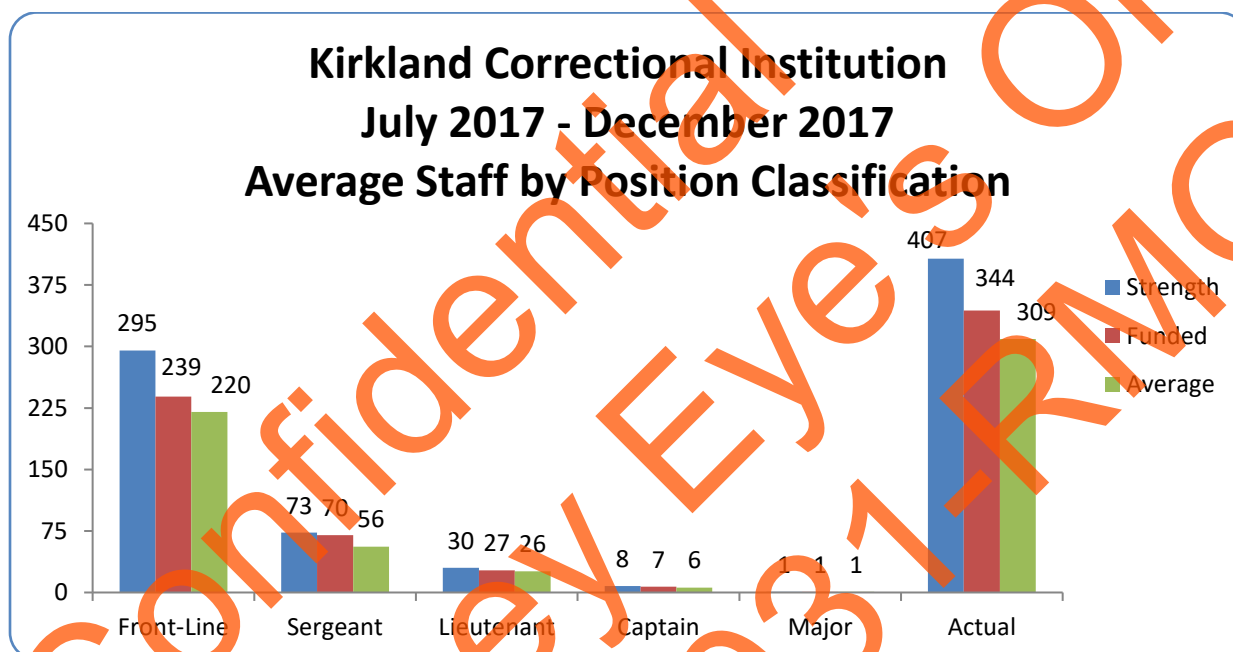
The following chart reflects the average staffing levels for the period from July 1, 2017 to December 1, 2017. The facility had been operating at a level where on average there were approximately (35) funded positions that were not being filled.



These were funded positions that had been approved by the department however remained vacant. In respect to the recommended *authorized strength* level the facility was operating with an average of (98) fewer positions.

When the facility consistently operates at deficient staffing levels it can often lead to developing patterns that include not meeting workload responsibilities described by policy and not having sufficient personnel resources to focus on the details that are critical to effective facility management.

The chart below identifies the **average staffing levels** by position classification for the period of July 1 through December 1, 2017. Front-Line positions identified in the chart include cadets, officer I/II's and corporals.



Source: SCDC RIM

As reflected in the chart, the largest number of vacancies (54.3%) was in the front-line positions. These are the positions that normally have the most frequent direct contact with inmates and are routinely assigned to housing units; provide transports, shakedowns, cell searches, inmate counts, security inspections, hospital coverage, inmate escorts and direct security within a specific area. Most of the remaining vacancies were in the Sergeant position which represented 40% of the vacancies. Facility management personnel reported that they were in the process of hiring additional sergeants. In total when considering security staffing levels during this reporting period the facility had been operating at an average of 89.8% of the recognized funding level.

#### Operational Initiatives in Response to Staffing Levels

Based on staffing level trends management personnel have deviated from the established staffing plan and implemented several initiatives to maintain minimum operations at the facility.

The initiatives routinely include the following:

- **Staff responsibilities are expanded beyond the established post order.** Each post assignment includes a written post order that describes the normal responsibilities associated with the post (OP-22.24)<sup>16</sup>. Under normal circumstances security staff are responsible for one post at a time. Staff assigned to existing posts are routinely required to be responsible for meeting both their assigned responsibilities and responsibilities of an additional post. This often results in fewer pat-down searches, fewer building and cell inspections, limited inmate escorts, delays and or cancellations in program and service delivery;
- **Staff are augmented to leverage existing personnel resources.** Since 54% of the vacancies were in the front-line staff positions staff outside those position classifications frequently are required to fill line staff post assignments. Daily shift assignment rosters reflect sergeants, lieutenants and captains are frequently used to meet front-line staff post responsibilities, limiting the time available to supervise or perform their normal assigned responsibilities;
- **Shift Supervisory personnel routinely work 14-15 hr. days.** To meet existing responsibilities, shift supervisory personnel routinely arrive prior to the start of their shift, review staff availability levels, facility schedules and overall workload. Shift supervisors often remain after their shift is normally over to ensure effective communication and staff coverage. Lieutenants and captains are considered exempt employees and not eligible for overtime compensation;
- **The facility is placed on full or partial lockdown to limit movement outside the cell and reduce staff workload.** The first eleven months of calendar year 2017 the facility reported they were on full or partial lockdown a total of 36<sup>17</sup> days. This resulted in limited access for the inmates to programs and services;
- **Personnel are often compensated at an overtime rate to complete required staff training.** Uniformed security personnel are routinely scheduled to complete required training on their off-days or after their shift resulting in additional overtime expenditures;
- **Post Assignments go unfilled.** A review of daily shift assignment rosters from July 2017 through September 2017 reflect all post assignments in the housing units, yard, cafeteria and main control are not routinely being filled;
- **Staff assigned to the 12-hour shifts are routinely scheduled to work a minimum of 168 hours in a recognized 28-day pay cycle.** Staff working the additional 8 hours are compensated at straight-time for working the 8 hours. Initial Department practice was to provide staff assigned to the 12-hour shifts, 8 hours off per pay cycle; however, this practice was no longer occurring. Staff assigned to the 8-hour shifts are routinely scheduled to work (160) hours in the same recognized pay cycle;

<sup>16</sup> SCDC Policy OP.22.24 Post Orders.

<sup>17</sup> SCDC Operations. Lockdown Statistics.



- **Staff initially not scheduled to work a shift are held over to fill vacant post assignments or staff are called into work on their off-day.** The overtime expenditures during the first eleven months of 2016 were reported as \$1,085,292<sup>18</sup> (rounded). During the same reporting period in 2017 the overtime expenditures was \$1,466,703 representing a 35.1% increase. In respect to security positions, only cadets, officer I/II's and sergeants are eligible to receive overtime when working over 171 hours in a 28-day pay period.

Facility management personnel reported the increase in overtime was primarily the result of the following: Staff were providing hospital coverage at the Palmetto Richland Hospital at an increased rate; Staff were more diligent in filling Gilliam Psychiatric Unit, High Level Behavior Management Unit (HLBMU) and Intermediate Care Services (ICS) required post assignments; Staff were staying after their scheduled shift because of late reliefs; staff were completing more mandatory staff training on their scheduled off-days and staff were using more leave-time;

- **Staff assigned to 8 or 12-hour shifts do not consistently receive meal breaks.** Most staff assigned to the shifts rarely receive a recognized break from their post assignment. Federal (Fair Labor Standards Act) and state labor laws do not require the employer to provide a meal period or break to employees, however SCDC policy does.

*SCDC Policy ADM-11.21 Regular Working Hours and Overtime cites in section 1.1: The official work schedule for security positions will be either 1.1.1 eight (8) hour shifts or 1.1.2 twelve (12) hour shifts on a 28-day cycle, including at least one 30-minute meal period each shift; and*

- **Mandatory 24-hr. post assignments are filled intermittently.** The Division of Security has developed a post chart as a guideline to identify post assignments required to be filled and when they are to be filled. Existing operational practices frequently result in all mandatory posts not being filled and staff assigned to non-stationary posts, intermittently filling posts such as the yard, back gate and/or secondary housing unit posts.

#### **Demonstrated Risk Factors**

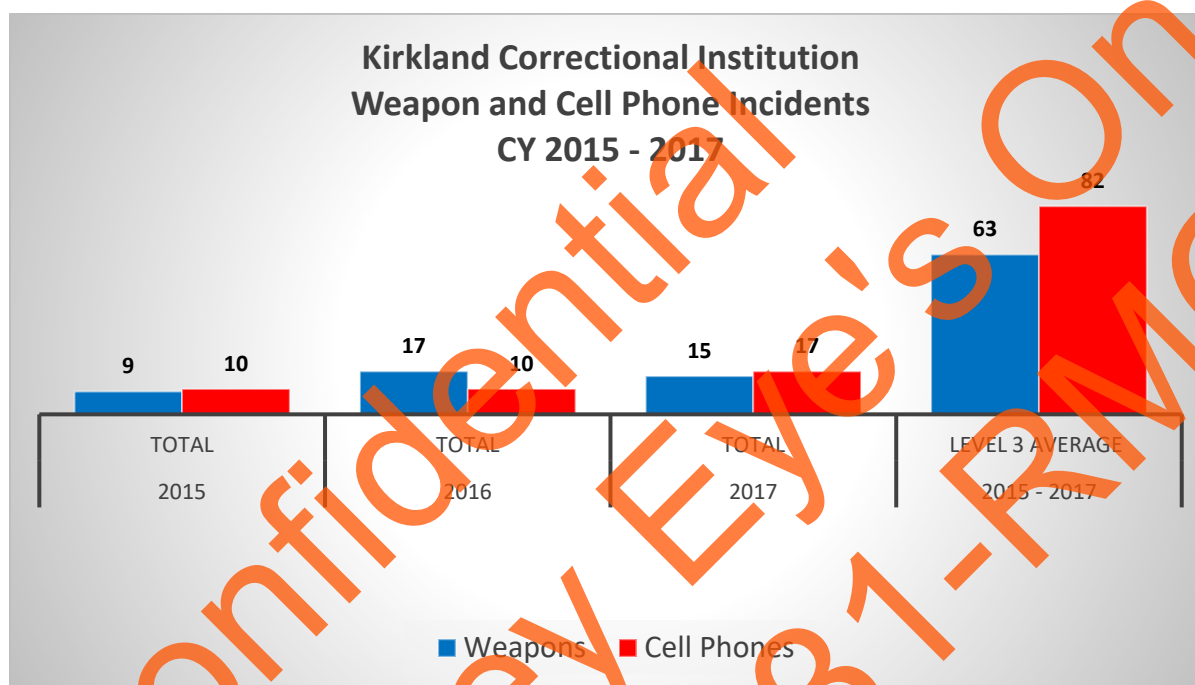
**Contraband Incidents.** The introduction and presence of contraband in a correctional facility has always been an issue and a primary management concern when operating a facility. It often leads to unauthorized movement, destruction of property, compromised staff, public trespassing, criminal activity and violence. Based on data received from the SCDC Research and Information Management Division, there has been more cell phone related incidents reported by the facilities in the past three years than any other type of contraband.

The Director of the department has been at the forefront on a national basis calling for federal support to change laws to allow cell phone jamming in correctional facilities. The Communications Act of 1934 and the Telecommunications Act of 1996 prohibit the operation of cell-phone-jamming equipment by any person, including state and local officials. In addition, the Act prohibits the manufacture, importation, marketing, sale or operation of devices deliberately designed to jam or disrupt wireless communications.

<sup>18</sup> SCDC Research and Information Management.

At Kirkland cell phone related incidents was the number one type of contraband reported in 2015 and 2017. In 2016 weapon-related incidents was number one and cell phones was number two.

As shown in the following chart, in comparison with the average number of weapon and cell phone related incidents at the other level 3 facilities, the number of incidents at KCI is significantly lower. It is not unusual for a facility serving as a reception center to have fewer cell phone and weapon related incidents than other maximum-security facilities. On the date of the on-site assessment, the facility reported five staff were assigned to contraband control of which two were on sick leave and one was off-duty because of a worker's compensation injury.



Source: SCDC Research and Information Management.

**Assaults.** A second risk factor that is often associated with staffing levels is the number of assaults that occur at a facility. The number of staff, staff training and the experience level of staff is often referenced as one of the causes of prison violence. Although there is no internal or external study that supports insufficient staffing as the cause of violence, in most cases it should be considered a contributing factor. Having a sufficient number of well-trained knowledgeable staff assigned to appropriate locations should be the goal of every facility. The conjecture is that if properly trained staff were present and available as identified in the recommended staffing plan, the chances an incident results in an assault occurs may not be as high. This may not always be the case; however, it should be considered a fair assumption.

At Kirkland, the number of inmate-on-inmate assault-related incidents were lower than the average reported for all level 3 facilities. One significant incident did occur at KCI in 2017 where two inmates admitted to killing four inmates in a housing unit. This case is still pending at the time the report was prepared.

In respect to inmate-on-employee assaults the number of incidents reported appears to be extremely high and slightly higher than the overall average cited for all the level 3 facilities. In 2015 the number of assault related incidents was approximately half (46.5%) the number reported in 2017.

The following chart reflects the overall number of assaults occur at a higher than acceptable level at KCI however not as high as the combined total level for all level 3 facilities.



Source: SCDC Research and Information Management.

### Key Staff Positions

Administration. The approved administrative core positions for the facility include a superintendent (Warden) and two assistant superintendents (Associate Warden of Operations/Assistant Warden of Programs). Both the Warden and Associate Warden of Operations were newly appointed and had been in their positions for less than six months. The Associate Warden of Operations had previously served as the Associate Warden of Programs at Kirkland. On the dates of the site visit the Programs position was vacant. After the initial on-site assessment, the Associate Warden of Operations was available via telephone to clarify pending issues and reported the Associate Warden of Programs position had been filled.

Supervisor Posts. The major is the top uniformed security post at the facility. This position is routinely considered the Chief of Security and reports to the Associate Warden of Operations. On the day of the site visit the major position was filled. The individual in the position was a corrections veteran and had been at the facility for an extended period.

Six captains were assigned to the facility and serve as either one of four 12-hour shift supervisor's, a unit manager or as the maximum-security unit captain. The Administrative Captain position was vacant.

Each of the (4) 12-hour shifts are supervised by a captain who normally is assisted by lieutenants. When the shift commander is off the assistant shift commander lead lieutenant assumes supervision of the shift. The shift commander is responsible for overseeing shift operations, deployment of security personnel and meeting facility security needs as they arise. Based on operational practices the additional lieutenants primary post responsibilities on the 12-hour shifts normally include serving as the assistant shift commander, providing supervision in the specialized housing units or patrolling the yard.

In addition to the lieutenant position all the (4) 12-hour shifts have sergeants available to assist in providing staff and area supervision. The 12-hour day shift starts at 5:45 am and is scheduled to conclude at 6:00 pm. The evening shift starts at 5:45 pm and normally concludes at 6:00 am. Each 12-hr. shift includes an employee paid fifteen-minute shift briefing prior to proceeding to their assignment.

KCI applies a “blended” shift schedule that also includes staff working an 8-hour administrative shift. This shift is normally supervised by a captain. On the days of the site visit the *C-Card* (8-hr. shift) captain position was vacant and the major was serving as the *C-Card* shift commander. The “blended” scheduling model generally allows for the concentration of staffing levels to be available at times when the workload and activity levels are generally higher. The objective of the blended schedule is to make more efficient use of available staff resources by having staff available in the most beneficial areas at the most appropriate times.

The supervisory personnel working the 8-hour shift normally are assigned to the following posts: Environmental Health and Safety; Training; Transportation; Key Control; Armory and Property Control; Dorm Lieutenants; Behavior Management Unit; Gilliam Psychiatric Unit; Contraband Control; Reception and Evaluation; Death Row; Maximum-Security Unit; Unit Managers and Unit Counselors.

Most supervisory staff assigned to the 8-hour shift are scheduled to work from 8:00 am to 4:00 pm Monday through Friday; however, various starting and ending times are used to best meet the needs of the facility. The 8-hour shift, known as the *C-Card* is normally supervised by a Captain, however due to a vacancy the major was serving as the shift commander.

In each of the housing units at KCI the unit management concept has been adopted. Unit Managers consist of veteran security personnel that fill a captain or lieutenant position on the roster. These non-uniformed supervisors serve as the housing unit administrator and are normally responsible for managing activities, staff and inmates assigned to select housing units. Working with the unit manager is normally a sergeant or lieutenant who serves as the assistant unit manager of a housing unit and counselor to inmates assigned to the unit. On the date of the on-site assessment there were five security supervisors assigned as unit managers and five assigned as unit counselors.

Due to the limited number of staff assigned to the units and the workload responsibility associated with operating a housing unit, staff assigned as unit manager and counselor often deviate from their roles to fill a more traditional officer and/or sergeant role to address fundamental operating issues. The approved funding level for security supervisors at KCI allowed for (105) positions of which an average of (89) were filled during the reporting period. The sergeant position averaged fourteen vacancies and the lieutenant position averaged one vacancy during the reporting period. Turnover rates and the number of qualified candidates for the sergeant positions were cited as contributing factors to consistent vacancies in the sergeant positions.

Front-Line Security Posts. For this study, front-line security staff positions include cadets, correctional officer I/II's and corporals. Cadets are those uniformed individuals that are 18 to 20 years of age, have not received all the firearms training and are limited in where they can be assigned. Correctional Officer I/II's are the traditional front-line security member age 21 and over and may normally be assigned to most any front-line staff post. Corporals are non-supervisory lead officers normally with a minimum of 18 months experience that may be assigned to any line staff post within the facility. Individuals in these positions normally serve as the lead employee when two or more front-line staff are working together. For the most part based on current practice and because of existing staffing levels the officer I/II's and corporals are often interchangeable.

Key post assignments where front-line staff are normally assigned include the following: Outer Perimeter Patrol; Front Gate; Front Lobby; Main Control; Transportation; Property Control; Specialty Clinic; Outside Gate; Contraband Control; Visitation; Infirmary; Visitation; Law Library; GPH Recreation; Operations; Housing Unit; Back Gate; DHO Recorder; Reception and Evaluation; Reception and Evaluation Annex; Release Officer; Mailroom; Horticulture; Housing Unit Control Room; Hospital Coverage; Cafeteria; BMU Recreation; Escort; BMU Control Room; Max Unit Control Room; GPH Control Room and GPH Escort.

Some of these positions are required to be filled 24-hours per day, seven days per week, while others may be required to be filled for 12-hours or 8-hours per day ranging between one and seven days per week. Shift schedules are designed to allow for the concentration of security staffing levels to be available at times when the workload and activity levels in a specific area are generally higher.

For example, The Reception and Evaluation Unit normally operates during the day shift Monday through Friday from 5:30 am until at the latest 8:00 pm. Staff assigned to the R & E are scheduled to work 8 hours per shift Monday through Friday. Starting and ending times for staff assigned to the R & E vary to ensure coverage throughout each day five days per week. The Main Control post, which operates the electronic access control panels, distributes security equipment, provides remote visual back-up support and serves as the communication hub for the facility is required to be staffed 24-hours per day, seven days per week.

The reporting period of July 2017 to December 2017 showed an average of approximately 71.2% of the filled security positions were considered front-line security (FLS) positions. The approved funding level for FLS staff at KCI allowed for (239) positions of which an average of (220) were filled. As a result, all the front-line post assignments are not consistently being filled as identified in the established staffing plan.

### **Roster Management**

Roster management and staff scheduling at KCI are considered essential elements in the daily operation of the facility. In-house roster management for security positions are performed primarily by the major in concert with the shift commanders.

An initial post chart has been developed by the *Division of Security* with input from facility staff as required by policy<sup>19</sup> to guide facility personnel on where and when to fill post assignments. In addition, minimum staffing levels have been established for the 12-hour shifts. At Kirkland the 12-hour **minimum staffing level** established by the *Division of Security* identifies (43) positions required on the day shift and (38) on the evening shift.

<sup>19</sup> SCDC Policy ADM-11.12, Post/Shift Assignments



On September 27<sup>th</sup> male inmates sentenced to death were transferred to KCI impacting the overall mission of the facility, workload responsibilities and resulted in procedural changes. In addition, hospital coverage responsibilities have increased resulting in more staff being required to be assigned to Palmetto Richland Memorial Hospital. During the six-month period of December 2016 through May 2017 the facility averaged approximately (10) staff per day being assigned to provide hospital coverage. The more recent six-month period of June 2017 through November 2017 the facility was averaging approximately (12) staff per day being assigned to provide hospital coverage. The most recent post chart provided identified a total of (4) front-line posts per shift were recommended.

Shift Assignments. A master shift assignment roster for security personnel has been developed that identifies personnel assigned by shift, their position classification, gender, post assignment (*C-Card* only) and the number of vacancies on the shift.

The number of front-line staff reportedly assigned to each of the (4) 12-hour shifts during the on-site assessment included the following:

- Day Shift (D1). There were (35) front-line positions filled;
- Day Shift (E1). There were (47) front-line staff positions filled;
- Night Shift (D2). There were (26) front-line staff positions filled; and
- Night Shift (E2). There were (38) front-line positions filled.

In respect to **front-line staff** the 12-hour day and night shifts represented a significant discrepancy in the number of staff assigned to each alternating shift. Monitoring shift schedules and their associated staffing levels can lead to improved operational consistency and efficiency.

The 8-hour shift reflected (26) supervisors and (46) front-line staff assigned to the shift. The 8-hour shift (*C-Card*) represented the largest shift in respect to staff assigned. Staff assigned to transportation, new hires, housing Lieutenants, unit management and the Reception and Evaluation Unit made up over two-thirds of the 8-hour shift roster.

Daily Shift Rosters. In addition to the master shift assignment roster, daily shift rosters are also maintained for the shifts that identify in more detail the actual staff assigned by day, their post assignment, the staff on leave and responders. The daily shift rosters are designed to identify how scheduled personnel are utilized and provide a best practice tool for documenting staff accountability. Sample daily post assignment rosters reflected there is no recapitulation data provided or when appropriate, consistent reference to staff temporarily being assigned to the shift working extra hours.

Post Coverage. A Post assignment memorandum from the division of security reflects that post assignments are to be classified as Pull Post Level I, Level II, or Level III (mandatory) to assist shift supervisors when determining which posts should be temporarily collapsed or closed due to staff shortages, emergencies, overtime reduction efforts or other reasons deemed necessary by the shift commander or facility management. Pull post are to be prioritized to ensure certain post are shut down first. The department approved Post Chart identified several post assignments as mandatory.



In reviewing sample daily shift rosters and interviewing staff at the facility it appeared all the mandatory posts identified in the *Division of Security* post chart were not consistently being filled.

For example, in the post chart the outer perimeter patrol post recommends two posts be filled seven days per week on a 24-hour basis. Operational practice is to have one post filled.

The following additional mandatory 24-hour FLS posts were identified on daily shift rosters as being filled; however, they were not being consistently being filled at the level as recommended: Main Control Day shift; BMU Escort Officer; Gilliam Wing Officer; ICS and the Housing Units. When the deficiency in staffing levels did occur most often there were more than (4) security staff assigned to the outside hospital and a larger than normal number of staff were on leave status, using overtime or considered an unauthorized absence.

The number of staff using leave-time can significantly impact facility operations. For example, there were several daily shift rosters that identified as many as (13) staff assigned to the shift, off-duty because of leave time or unauthorized absence. This represented over 20% of the staff assigned to the shift.

Completed daily rosters revealed that staff that were assigned, were being assigned to critical areas and there was no evidence staff were filling post assignments that could be closed while mandatory posts were being left unfilled.

At Kirkland, the basic elements of a roster management system are in place, however the system should be monitored.

The primary concerns with the system include the following:

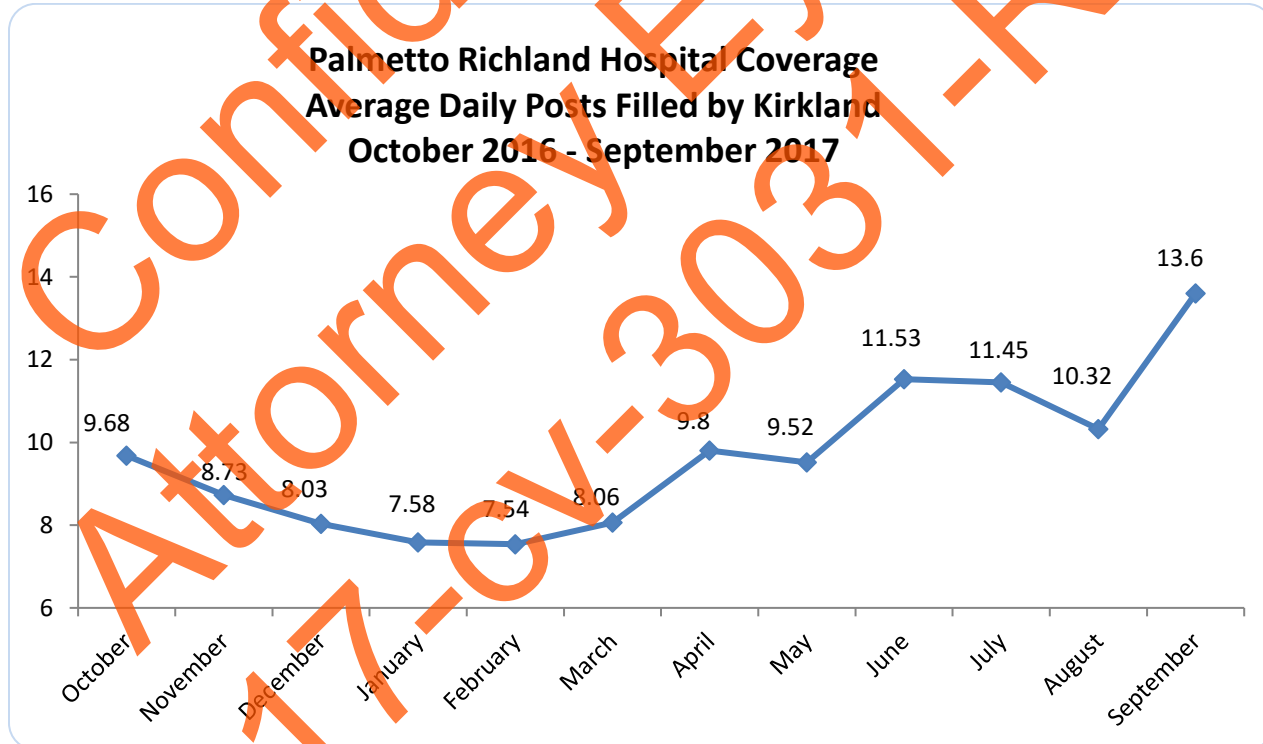
- The post chart identifies mandatory posts that are not routinely being filled due to available staffing levels. The current operating practice when insufficient personnel are available is for shift leaders to contact qualified staff currently assigned or on their off-day to determine their interest in working additional hours. Based on the number of staff that are interested in working additional hours combined with the scheduled staff, the shift commander fills as many posts as possible;
- Most often this results in mandatory posts going unfilled, staff working multiple posts and post assignments remaining unfilled. Because a post is recognized as mandatory does not necessarily mean the post will be filled consistently throughout the shift. Mandatory posts are considered critical assignments that meet a specific responsibility. When they remain vacant those responsibilities often are not completed. Such things as inmate escorts, cell searches, pat-down searches, access to recreation, housing unit operations, on-site security and service delivery can all be impacted;
- The recommended minimum staffing levels for each 12-hour shift needs to be monitored on a regular basis due to changes in the mission and number of staff considered post-eligible. Daily shift rosters reflected minimum staffing levels were not being met on a consistent basis. Monthly in-house reviews should be completed to monitor staff deployment patterns, core post assignments and the mission to confirm or re-establish minimum levels;

- Daily shift rosters need to be updated to consistently reflect how all staff assigned to the shift are utilized, including clearly identifying core posts considered mandatory and the use of a recapitulation table. Staff assigned to posts for less than a full shift, detailed to a special assignment, originally assigned to another shift and using benefit time should be clearly identified on each daily roster; and
- Shifts need to be balanced based on workload responsibilities and the number of post eligible staff available. 12-hour day and night shifts were disproportionately balanced impacting post coverage, facility operations and overtime expenditures.

### Staffing Comments

The most significant concerns reported by facility personnel involved the impact providing hospital coverage has on the operations of the facility. Staff reported a department issued staffing matrix has been established that requires the facility to provide a minimum of six staff for hospital coverage at the Palmetto Health Hospital – Richland daily when there are at least nine inmates present in the hospital. Staff reported that due to the department mandate, between four and seven staff are required daily from each shift to fill a hospital post.

The following chart shows the average daily number of staff each month during the period of October 2016 through September 2017 that were assigned to the Palmetto Richland Hospital. For the period of June through September 2017 the facility was averaging 11.7 staff per day. The post chart allows for (8) staff.



Source: SCDC Research and Information Management.

In addition to providing hospital coverage staff reported additional inmate transports are a part of the daily routine of the facility. In total, (13) FLS staff and one sergeant was assigned to the Transportation Unit which at that level occasionally results in staff being pulled from the shift or using staff at an overtime rate to meet existing responsibilities.

The volume of transports is extremely high. During the 12-month period from October 2016 through September 2017 the following number of transports were provided:

- (105) medical transports to non-SCDC locations for inmates assigned to GPU;
- (502) from the institution;
- (439) from the Infirmary; and
- (11) from the Maximum-Security Unit.

In total there were over 1,000 medical transports with each requiring a minimum of two officers. The medical transports are **in addition to 925 court related transports** that occurred during the same period. Policy requires a minimum of (2) staff accompany each transport.

<b>Kirkland Transports October 2016 – September 2017</b>	
<b>Medical: Non-SCDC Locations</b>	<b>Number of Transports</b>
Gilliam Psychiatric Unit	105
Kirkland Main Facility	502
Kirkland Infirmary	439
Maximum Security Unit	11
<b>Sub-total</b>	<b>1,057</b>
<b>Court-Related Transports</b>	
Kirkland Population	925
<b>Combined Total</b>	<b>1,982</b>

Source: Kirkland Correctional Institution.

The second primary concern presented by staff involved the overall experience level of staff assigned to the facility. In October 2017, SCDC Research and Information Management personnel reported there were (93) security staff that had been at the facility for less than one year and (57) had been with the department for less than one year. In addition, there were (159) total security staff that had been at Kirkland for less than 3 years. This represented over half the security force at the time. Inexperienced staff, often require more guidance, direction and support and are limited in where they can be assigned. At Kirkland, staff with less than one year of service cannot be assigned to provide hospital coverage, transportation, Restricted or Specialized Housing Units. This often results in a higher number of inexperienced staff working the general housing units.

## Recommended Post Assignment Enhancements

The following additional post assignments identify both essential and critical posts that are not normally being filled at the level consistent with fundamentally sound correctional practices.

**Court Yard.** The Kirkland Correctional Institution is located on an extremely large footprint that consists of fourteen separate housing units, program and service areas, an administrative building and open yards. The ability to directly observe and control movement from a central location is not possible. All inmate movement is considered controlled movement and the type of movement varied based on the inmates' classification, the purpose for the movement, destination and time of day. A combination of line movement, escorted, supervised and the use of passes (OTR's) was all being used.

To proceed from the housing units to most program activities and services inmates are required to walk through a courtyard or open area leading to the cafeteria, visitation, canteen, education and medical services. It is essential and a fundamentally supported correctional practice in a maximum-security facility that security staff be available to conduct security checks throughout the facility, be available to monitor, control and authorize inmate movement and serve as responders when needed. Dedicated yard officers are being recommend for both the day and night shift. Current practice is to provide limited or intermittent coverage;

**Intermediate Care Services (ICS).** ICS is a residential mental health program offered by the Division of Behavioral/Mental Health and Substance Abuse Services. Inmates assigned to the program have been identified as severely impaired due to their mental illness, and require intensive treatment, monitoring and care. Access to treatment is an essential part of the program as is maintaining a safe environment.

Inmates assigned to the program are housed in one of two units, F1 and F2. ICS housing assignments are determined primarily based on the inmates functioning level. Higher functioning inmates are assigned to one unit and inmates not functioning at the same level are housed in a separate unit. Inmates assigned to the program are required to abide by the same security standards as others, including controlled movement, searches, cell inspections and counts. Providing inmate access to recreation, visitation, meals, showers, programs, medical and treatment services are also required.

Based on SCDC policy HS-19.12 *Mental Health Services – Intermediate Care Services* dated August 31, 2016 the following services are also to be provided:

- HS-19.12.3.4. *ICS inmates are provided ten (10) hours of structured out-of-cell activities weekly, which take place Monday through Friday. ICS inmates are allowed a minimum of ten (10) hours of unstructured out-of-cell time per week; and*
- HS-19.12.3.41. *Group therapy is led by a QMHP and is provided primarily Monday through Friday with limited group offerings on weekends.*

Most program and treatment services occur during the day shift, Monday through Friday. The prescribed activity level within the units is expected to be controlled, safe and extensive. Officer responsibilities need to be in line with what one individual can realistically accomplish while maintaining vigilance. Sufficient security personnel are required to be readily accessible to allow non-security personnel the ability to focus primarily on treatment and programming and not solely on safety. The fact four homicides took place in the ICS during 2017 can understandably have an impact on both security and treatment personnel.

Mental health technician positions have been identified to provide support and assistance; however, should not be considered a replacement for dedicated security personnel.

To meet these requirements in a safe manner, dedicated security personnel need to be consistently present to assist in facilitating services. This should include a security supervisor, wing officers, security program support, escort and security recreation staff. These positions should be considered “core” positions, posts identified as assignments where shift commanders should fill as a priority and when necessary, explore all available resources beyond the available staff currently assigned to the shift.

The number and position classification of security personnel assigned to the ICS is essential to the success of the program as is the experience, training and motivation level of those working with a mentally ill population. Specific post assignments are identified in the Kirkland post chart located in the appendix.

**High Level Behavioral Management Unit (HLBMU).** HLBMU is a residential program designed as an alternative to long term segregation for inmates identified as having a mental health illness suffering from severe personality disorders and associated disruptive behaviors. According to policy<sup>20</sup> the services to be provided include crisis intervention, individual treatment and group therapy. All inmates are to be offered ten (10) hours of structured and ten (10) hours of unstructured activities outside of their cell per week. In addition, assigned security staff are responsible for conducting security checks, cell inspections, counts, meal delivery, address inmate concerns, handling disturbances, mail, linen and supply distribution, telephone access, recreation supervision and escorts.

SCDC policy HS-19.10 7.5.1 states in part, “Uniformed staff/correctional officers for the Behavioral Management Unit program will provide support for clinical programming and safety and security of the unit. Uniformed staff will be essential to ensure the safety and security of programming.”

To meet these requirements in a safe manner, dedicated security personnel need to be consistently present to assist in facilitating these services. This should include a security supervisor, wing officers, security program support, escort and security recreation staff. The program mission, scheduled activities and population level should be considered in determining daily staffing levels. These positions should be considered “core” positions; posts identified as assignments where shift commanders should fill as a priority and when necessary, explore all available resources beyond the available staff assigned to the shift. Specific post assignments are identified in the Kirkland post chart located in the appendix.

The number and position classification of security personnel assigned to the HLBMU is essential as is the experience, training and motivation level of those working with a mentally ill population;

**Gilliam Psychiatric Hospital (GPH).** GPH is a residential licensed psychiatric facility providing inpatient psychiatric care for a male inmate population. Inmates assigned to the facility manifest symptoms of severe psychiatric disorders that require acute care and treatment. Treatment includes individual counseling, group counseling, activity therapies and other out of cell structured activities.

SCDC policy<sup>21</sup> states the goal “will be to provide treatment in the least restrictive setting appropriate with the inmate’s mental health and security needs. Attention will be paid to provision of out-of-cell therapeutic activities and recreation time.

<sup>20</sup> HS-19.10 “Mental Health Services-Behavioral Management Unit (BMU)”.

<sup>21</sup> HS-19.13 Mental Health Services – Gilliam Psychiatric Hospital (GPH),

All inmates will be scheduled for a minimum of four (4) hours of structured therapeutic programming a day, Monday through Friday.” In reviewing the policy at a minimum, the following additional programs and services should be provided. The frequency and procedures may vary based on the inmates’ classification and level in the program.

- Group Therapy. Monday through Friday, on the unit and in adjacent treatment areas during identified morning and afternoon periods;
- Unstructured Recreational/Leisure Activities. “GPH inmates will be offered out-of-cell recreation seven (7) days a week. Inmates on restricted housing status will be offered a minimum of two (2) hours of unstructured out-of-cell activities per day. Inmates will have access to outdoor recreation, use of the day room areas, television viewing, and reading materials.”;
- Inmates will be provided the opportunity for showering a minimum of three (3) times per week. Daily showers will be offered when adequate staffing is available;
- Inmates may have two (2) personal phone calls for a maximum of fifteen (15) minutes each per week. Mental Health Technicians will only monitor the number of calls. These inmates will take responsibility for selecting calling times;
- A security officer must supervise the visit. Supervised visits are scheduled on Tuesdays and are two (2) hours in length; and
- Inmates will be afforded the opportunity to participate in outdoor recreation seven (7) days per week.

In addition to providing escort and appropriate security supervision for treatment, services and out of cell activities assigned security staff are responsible for conducting fundamental office responsibilities. This includes: conducting security checks, cell inspections, counts, meal delivery, address inmate concerns, handle disturbances, mail, linen and supply distribution, recreation supervision and escorts for a population that often exhibits behavior consistent with a mental health illness. This is a staff intensive unit that requires properly trained and motivated security personnel to meet established policy requirements in a safe and consistent manner.

To meet these requirements dedicated security personnel need to be consistently present to assist in facilitating these services including a security supervisor, wing officers, program support security, escort and security recreation staff. Programs and treatment should not be triaged due to insufficient security staffing levels. To comply with the mental health settlement agreement<sup>22</sup> these positions should be considered “core” positions, posts identified as assignments where shift commanders should when necessary, explore all available resources beyond the available staff assigned to the shift; and

<sup>22</sup> T.R. V. South Carolina Department of Corrections, No. 2005-CP-40-02925.



**Housing Units.** Housing unit post orders and associated responsibilities for FLS staff are expansive. Examples include providing on-site housing unit supervision, security inspections, searches, conducting inmate counts, providing documentation, supervising in-house inmate details, contacting transitioning, service and program scheduled inmates, facilitating new arrivals and releases or transfers, maintaining an open-line of communication with the inmates, addressing inmate concerns and disturbances.

Based on the capacity and custody level of the inmates', appropriate security personnel including supervisors and FLS are required to meet existing workloads. Current practice in most general population housing units often results in one FLS staff being assigned to meet established workload responsibilities and associated policies no housing unit at Kirkland should consistently operate with only one security staff person assigned, except for the infirmary.

### **Shift Relief Factor (SRF)**

An updated shift relief factor has been developed for Kirkland based on data provided by personnel assigned to the Research and Information Management Division (RIM). The shift relief factor (SRF) represents the number of staff required to fill a post assignment throughout the year based on the number of hours the post needs to be filled divided by the number of hours the average employee assigned to the post is available.

Staff attendance, off-post hours and leave-time results are inputted into a department recognized electronic data base and transferred into an automated system that can identify the shift relief factor. The SRF electronic workbooks have been set up to allow the user to specify the institution and hours per shift which will automatically recalculate the SRF accordingly.

The SRF calculation for this project is based on the following:

- All security staff (cadets – major) who were assigned to the institution during the entire year;
- A blended work schedule, including the use of both an eight-hour administrative shift (160 hours) and the straight 12's (168 hours) schedule;
- An average of the three most recent completed years that was available at the time the report was initially being prepared. This included 2015, 2016 and 2017. The purpose of evaluating data from the past three years instead of one year minimizes the chances the SRF will be influenced by one or more unusual factors or outliers.

At Kirkland the use of "sick-time" has gone in the past year. In 2017 an average of (114) hours of "sick-time" was used for each full-term security employee, compared to (96) hours in 2016 and (101) hours in 2015;

- The SRF is reflective of the facility being fully staffed; and
- Most posts recommended are considered relief posts. Refer to Appendix A for the detailed formula used to determine shift relief factors and the post chart appendix to identify specific post assignments being recommended.

<b>Kirkland Updated Shift Relief Factors</b>			
<b>Average 2015, 2016, 2017</b>	<b>8 Hour Shift 5-days</b>	<b>8 Hour Shift 24/7-Days (160 hrs.)</b>	<b>Straight 12-Hour Shift 24/7 days (168 hrs.)</b>
<b>Institution</b>			
<b>Kirkland CI</b>	<b>1.32</b>	<b>5.56</b>	<b>5.12</b>

A shift relief factor of 5.12 can be translated to mean for one year an average of approximately five staff (5.12) will be required to fill one 24-hour post assignment when applying the straight 12-hour shift schedule (168 hours). A five-day shift relief factor for one 8-hour post assignment requires an average of 1.32 staff (160 hours) throughout the year.

### Staffing Level Recommendations

A recommended post chart has been developed to identify the number of security staff recommended to meet the current mission of the Kirkland Correctional Institution when fully operational. As the mission changes the staff requirement may also change.

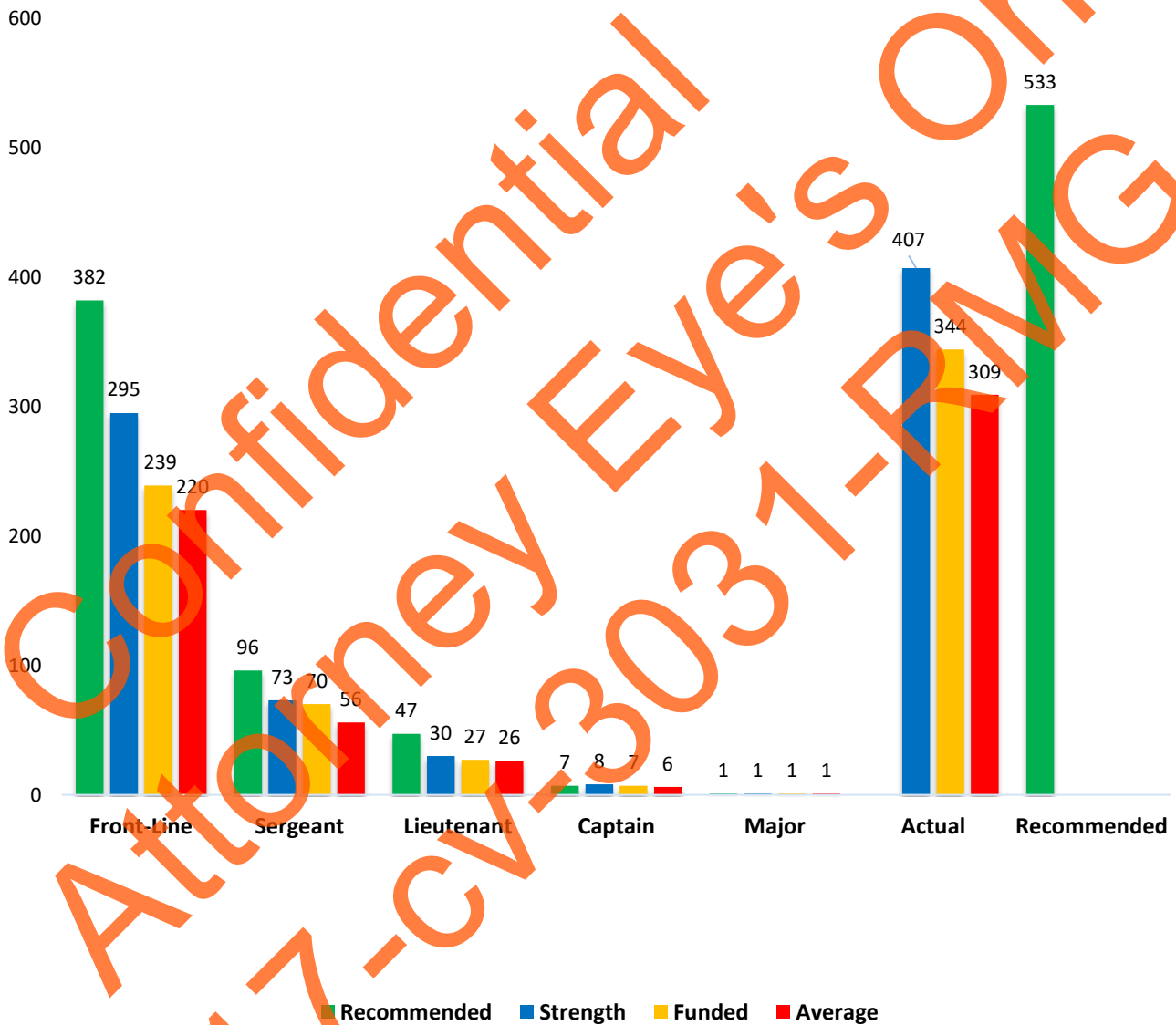
The staffing recommendation is based on applying the following:

- A blended work schedule consisting of a 12-hour work schedule (168 hours) and an 8-hour (160 hours) administrative schedule;
- A 28-day pay cycle applying Section 7(k) of the Fair Labor Standards Act (FLSA) to determine the overtime threshold;
- A shift relief factor based on the most recent available three-year average leave-time and reported authorized time unavailable to fill a post, i.e. staff training, meal break;
- The facility fully operational including staffing all existing housing, program and service areas;
- The facility continuing to operate under the established policies and mission at the time of the review; and
- Taking into consideration security staffing related requirements as stipulated by national standards, court orders, settlement agreements, state and federal laws.

Kirkland Correctional Institution Security Staffing Recommendations	
<i>Position Classification</i>	<i>FTE</i>
Major	1
Captains	7
Lieutenants	47
Sergeants	96
Front-Line Staff	382
<b>Total</b>	<b>533</b>

The recommended security staffing level for the Kirkland Correctional Institution is 533. The facility had been operating at 58% of the recommended level during the reporting period. A detailed listing of recommended post assignments can be found in appendix C.

**Kirkland Correctional Institution  
July 2017 - December 2017  
Average Staff by Position Classification  
Recommended Levels**



## **Lee Correctional Institution**

The Lee Correctional Institution (LCI) is a state operated level 3 facility located approximately 52 miles northeast of Columbia in the town of Bishopville, South Carolina. The facility was opened in 1993 and serves as one of South Carolina's adult male maximum-security correctional facilities. The reported capacity at Lee is 1,526 and the average daily population during the last six months of 2017 was 1,365. One section of the Restricted Housing Unit was closed due in part to limited available security staffing levels.

While most of Lee's inmate population is considered maximum custody, approximately 20% of the inmate population had a level 2 (medium) or lower custody classification. There was a small percentage of inmates (approximately two percent) classified as level 1A and 1B that are eligible to be considered for supervised work details located outside the perimeter. Approximately 22% of the total inmate population was on a mental health caseload.

In addition to providing housing and services for general population inmates LCI also provides housing and services for special programs including the Restricted Housing Unit (RHU), the Better Living Incentive Community (BLIC) program and a Step-Down Program.

- The Restricted Housing Unit provides housing for inmates requiring more intense behavioral levels of supervision. These inmates are housed and programmed separately from inmates assigned to the general population. A combination of Maximum Security, Security Detention, Lock-Ups, Closed Custody and inmates with protective concerns can be housed in the RHU.
- The Step-Down program is designed to provide housing and services for inmates recently released from long-term lock-up allowing facility management an opportunity to temporarily monitor inmates on a short-term basis in a more controlled environment while providing appropriate programs and services.
- The Better Living Incentive Community (BLIC) program is a character-based program available for qualified inmates interested in addressing the impact criminality and self-destructive mentality has had on their life. In this peer-to-peer accountability program inmates are eligible for work assignments and are housed separately from general population inmates. On the date of the on-site assessment there were two units where the program was operating one of which was being used in part for mental health caseload inmates. Since that time, it has been reported that most of those inmates have been transferred to Broad River.

### **Physical Plant**

The physical plant at Lee was built as a maximum-security facility and is surrounded by a double fence reinforced with multiple rolls of razor ribbon, electronic surveillance equipment, sensors, high-mask lighting, a vehicle access gate, perimeter towers, mobile perimeter patrol and an alarm detection system.

Inside the perimeter of the facility there are a variety of buildings, equipment and open space available to help meet existing facility responsibilities.



The physical plant contains the following: Front Gate/Vehicle Access Gate; Perimeter Towers; Administrative Services Building; Main Control; Secure Personal Property Storage; Visitation Area; Courtyard; Support Services Building; Medical; Maintenance; Education; Multi-Purpose; Greenhouse; Cafeteria; Vocational Education; Canteen; Commissary; Prison Industries; Back Gate and eight separate housing areas. Expansive internal movement control fencing, gates and security surveillance cameras are available throughout the interior of the facility.

Food Services are normally provided to the general population inmates in the main cafeteria.

All inmate movement was considered controlled movement. The type of movement varied based on the inmates' classification, the purpose for the movement, destination and time of day. A combination of line movement (food services), escorted, supervised and the use of passes (OTR's) was all being used.



### Housing Unit Designs

There are four primary housing unit designs at LCI. All the housing units contain secure cells as dormitory style housing is not provided at the facility. The housing unit designs include both direct and indirect supervision units. In total there were eight separate inmate housing areas in operation at LCI.



- **Direct Supervision Units.** Five of the housing units are considered **direct supervision** units. Officer work stations are located both within the living area as well as outside the living area in the indoor sally port located immediately adjacent to the inmate living space. The unit was designed to have front-line officers assigned in the living area. Each unit contains two wings and secure cells located on both the ground floor and mezzanine level. Each cell contains a toilet and wash basin. In addition to a dayroom, an open officer work station, group program space, showers and passive recreational opportunities are available on the wing. In total the maximum capacity of each of the five units is (256);
- **Indirect Supervision Unit.** There is one indirect supervision multi-level general population unit that has an operating capacity of (256). An elevated secure control center is centrally located in the unit surrounded by security glazing and four separate living areas (wings). Staff assigned to the secure control room can view activity in all four wings. Each wing contains double occupancy cells which are equipped with beds, toilet and a wash basin. Showers, dayroom and passive recreation space is available within each living area;

The cell doors in all four of the wings in this unit are considered “sliding doors” instead of “swing doors”. Sliding doors are designed to slide open/close instead of swing out from the opening of the cell. A project has been established and approved to install additional locks on the cell doors as inmates have been able to manipulate some of the cell doors. On the date of the on-site assessment one and one-half of the wings had cells doors with additional locks installed. The remaining wings were pending completion of the cell door lock installation project. Each wing has a housing capacity of 64;

- **Infirmmary.** The infirmmary at LCI has an operating capacity of twenty. On the day of the site visit there were nineteen inmates assigned to the single-level unit. The infirmmary is located adjacent to the medical unit and housing is provided in single and multiple occupancy cells/rooms. A small dayroom, showers, outdoor recreation and passive recreation space is provided in the unit; and
- **Restricted Housing Unit.** The Restricted Housing Unit consists of two separate multi-level units, each containing two housing wings and a secure control room located in between each wing. **One of the two housing sections was closed.** The living areas in the open section provide secure cells including four safety cells which contain security cameras. All the cells have a toilet and wash basin. Showers are located on each wing and outdoor recreation space is available in a secure area located adjacent to the unit. The reported capacity of the open unit is (92).

### Program Services

In addition to providing a secure environment, varying degrees of program services and opportunities are available to the inmate population depending upon their individual classification and status. These program services have been integrated into the daily facility schedule to include the following: ABE/GED, Vocational Education Programs, Religious Services, BLIC Program, Mental Health Services, Volunteer Services, Alcohol and Drug Education, Step-Down Program, Law Library, General Library, Recreation, Horticulture, Visitation, Healing Species Program, Beekeeping Program, Canteen and the Prison Industry Program.

## Security Staffing Profile

On the date of the site visit (November 27, 2017) there were (191) full-time security staff positions filled. The approved *funding level* was (260) and the recognized *authorized strength* was (290). The approved *funding level* is the number of personnel in each position classification approved by the department to be filled. The *authorized strength* is the current recognized number of security positions identified to operate the facility safely. The *authorized strength* number is determined by the SCDC Division of Security with feedback from facility management staff.

Security staffing levels have been a critical concern at Lee for an extended period. In January 2011 the security staffing level was reported as (276) or over 95% of the current authorized strength. This was a high point for the seven-year period from January 2011 to November 2017. On January 1, 2018 the reported security staffing level was (195), a 29.3% decrease from January 2011.

The figures below identify the **total number of filled security positions** reported on January 1st of each corresponding year.

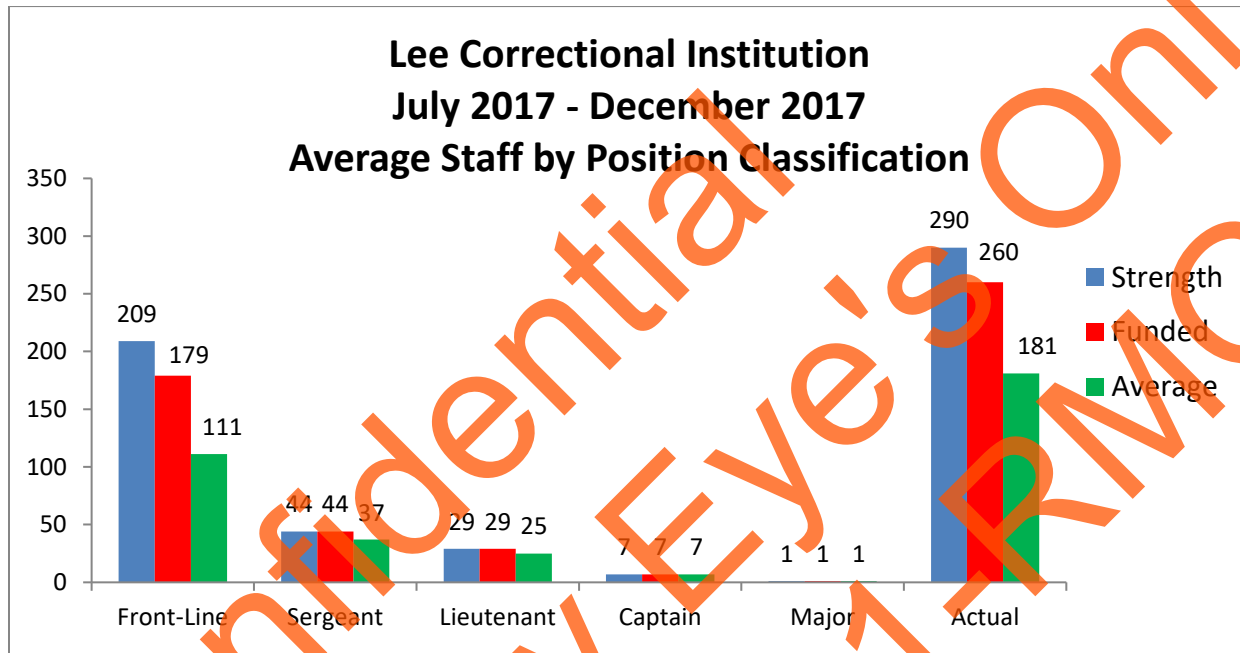


Source: SCDC RIM

The primary difference in the security staffing levels during the recent years is in the number of front-line positions filled, which includes cadets, correctional officer I's and corporals. A significant decrease in front-line security (FLS) staffing levels began in 2012 and had continued to decline through the middle of 2017. Since July 2017 LCI has made strides in increasing the existing FLS staffing levels (111) and continued to increase throughout the duration of 2017. However, LCI is still operating at extremely deficient levels when compared with both the required and approved funding levels. On January 1, 2017 the number of assigned staff was nearly (100) less than on January 1, 2011.

## Recent Staffing Trends

The following chart depicts the average staffing levels for the period from July 1, 2017 to December 1, 2017. The facility was operating at a level where on average there were approximately (79) funded positions that were not being filled. These were funded positions that had been approved by the department however remained vacant. In respect to the department recommended *authorized strength* level the facility was operating with an average of (109) positions unfilled during the same reporting period. Front-Line positions identified in the chart include cadets, officer I/II's and corporals.



Source: SCDC RIM

As noted the largest number of vacancies (86%) was found in the front-line positions. These are the positions that normally have the most frequent direct contact with inmates and routinely include post assignments such as housing units, transportation, yard, inmate escorts and direct security within a specific area. Cadets are not assigned to posts that require a weapon.

At LCI there were twelve security staff reported to be on either FMLA/Extended Leave or Workman's Compensation status unavailable to fill a post assignment on the date of the on-site assessment. On average during the five-month period of July – December 2017, an average of 7 security staff were reported to be on extended leave status. This further reduces the number of staff available to routinely fill post assignments.

In total when considering overall security staffing, the **facility has been operating at approximately 69.6% of the approved funding level during the five-month reporting period.** As a result, the facility has consistently operated without all required post assignments being filled.

## Operational Initiatives in Response to Staffing Levels

Because of the staffing levels facility management personnel have deviated from the original staffing plan and implemented several security initiatives to maintain minimum operations at the facility.

These initiatives routinely include the following:

- **Staff responsibilities are expanded beyond the established post order.** Each post assignment includes a written post order that describes the normal responsibilities associated with the post (OP-22.24)<sup>23</sup>. Under normal circumstances security staff are responsible for one post at a time. Staff assigned to existing posts are routinely required to be responsible for meeting both their assigned responsibilities and responsibilities of an additional post;
- **Staff are augmented to leverage existing personnel resources.** Since 86% of the total vacancies were front-line staff positions, personnel outside those position classifications frequently are required to fill front-line staff post assignments due to staff shortages. Shift assignment rosters revealed sergeants, lieutenants, captains, counselors and unit managers are used to meet front-line staff post assignments, limiting the amount of time available to supervise or perform their normal responsibilities;
- **12 hr. Shift Supervisory personnel routinely work 14-15 hr. days.** To meet existing responsibilities, shift supervisory personnel routinely arrive prior to the start of their assigned shift, review staff availability, facility schedules, overall shift workload, manage the shift and remain after their shift is normally over to ensure effective communication and staff coverage. Lieutenants and captains are considered exempt employees and not eligible for overtime compensation;
- **The facility is placed on full or partial lockdown to limit movement outside the cell and reduce staff workload.** During the first eleven months of calendar year 2017 the facility reported they were on full or partial lockdown a total of 190<sup>24</sup> days. This resulted in limited access for the inmate population to programs and services during those days;
- **Closed inmate housing area.** One section of the Restricted Housing Unit was closed due in part to available security staffing levels;
- **Out of cell inmate activity is limited after 7:00 pm.** Inmates assigned to general population units are often restricted to their cells at 7:00 pm to limit inmate movement and reduce staff workload responsibilities. Inmates assigned to the Character-Based program are allowed out of their cells into the common dayroom area of the housing wing until 11:00 pm;
- **Personnel are often compensated at an overtime rate to complete required staff training.** Uniformed security personnel are routinely scheduled to complete required training on their off-days resulting in additional overtime expenditures;

<sup>23</sup> SCDC Policy OP.22.24 Post Orders.

<sup>24</sup> SCDC Research and Information Management.

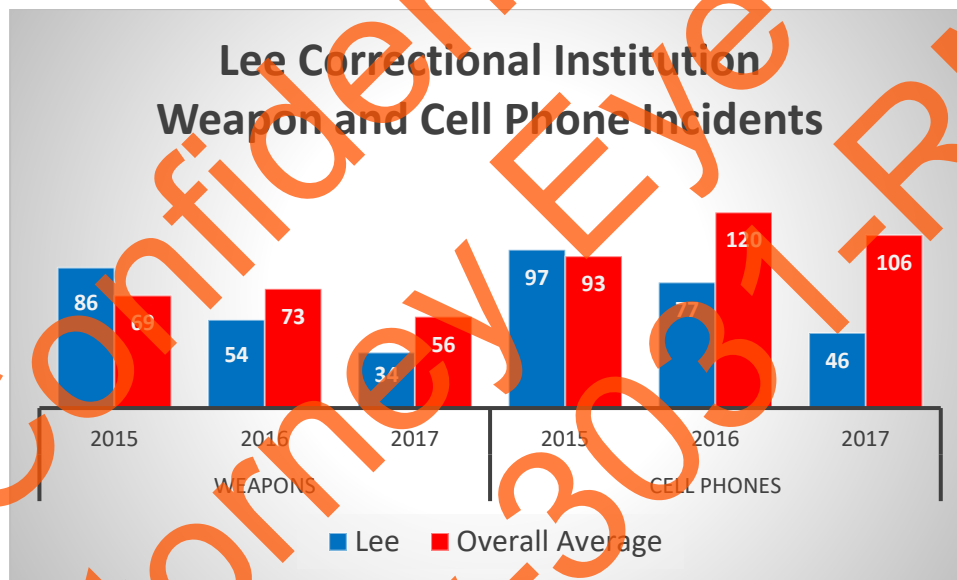
- **Staff assigned to the 12-hour shifts are routinely scheduled to work a minimum of 168 hours in a recognized 28-day pay cycle.** Staff assigned to the 8-hour shifts are routinely scheduled to work 160 hours in the same recognized pay cycle. Staff working the additional 8 hours are compensated at straight-time for working the 8 hours. Initial Department practice was to provide staff assigned to the 12-hour shifts, 8 hours off per pay cycle; however, this practice was no longer occurring;
- **Inmates assigned to the Restricted Housing Unit are occasionally provided a choice between taking a shower or access to recreation.** The operations of a Restricted Housing Unit are staff intensive. The responsibilities associated with providing required practices are expansive and the number of staff available are insufficient to consistently meet all those responsibilities. Oftentimes based on staffing levels there is not enough time to meet all those responsibilities. All inmates were not consistently being provided both a shower and access to recreation at a frequency consistent with policy;
- **Post Assignments go unfilled.** Daily shift assignment rosters from July 2017 through September 2017 reflect all recommended post assignments in the housing units, interior gates, Restricted Housing Unit wing officer, back dock, perimeter, cafeteria and yard are not always being filled;
- **Filling Mandatory 24-hr. post assignments intermittently.** The Division of Security has developed a post chart as a guideline to identify post assignments required to be filled and when they are to be filled. Existing operational practices frequently result in all posts not being filled and staff assigned to non-stationary posts, intermittently filling posts such as the yard, plaza gate, back gate and/or housing unit posts only during peak hours;
- **Staff assigned to 8 or 12-hour shifts do not consistently receive meal breaks.** Most staff assigned to the shifts rarely receive a recognized break from their post assignment during the shift because of staffing levels. Federal (Fair Labor Standards Act) and state labor laws do not require the employer to provide a meal period or break to employees; however, SCDC policy does.  
*SCDC Policy ADM-11.21 Regular Working Hours and Overtime cites in section 1.1 states: The official work schedule for security positions will be either 1.1.1 eight (8) hour shifts or 1.1.2 twelve (12) hour shifts on a 28-day cycle, including at least one 30-minute meal period each shift; and*
- **Staff initially not scheduled to work fill vacant post assignments beyond their normal work schedule.** During the first eleven months of 2017 the facility had \$1,207,337 in overtime expenditures for security personnel. During the same period in 2016 the facility had \$859,027 in overtime expenditures. This represented a 40.5% increase in overtime expenditures during the two reporting periods. An average of approximately (9) fewer front-line positions were filled during the first ten months of calendar year 2017 when compared with the same period in 2016. Most of the increase in overtime is the result of a reduction in the number of front-line staff, staff attending training on their off-days or temporarily filling a post assignment after their shift because of late reliefs.

## Demonstrated Risk Factors

**Contraband Incidents.** The introduction and presence of contraband in a correctional facility has always been an issue and a primary management concern when operating a facility. It often leads to unauthorized movement, destruction of property, compromised staff, public trespassing, criminal activity and violence. At Lee there has been several significant weapon related incidents, including incidents resulting in the death of an inmate. Reports reflected a stabbing has occurred at the facility in 2009, 2016, 2017 and 2018, resulting in an inmate death.

As shown in the chart, the number of weapon-related incidents have decreased each year during the past three years. The volume of weapon-related incidents during the past two years at LCI has been less than the average reported for all the other facilities reviewed. Staff deployment rosters identify five staff assigned to contraband control including one lieutenant, two sergeants and two front-line staff.

In addition to weapons, cell phone related incidents at LCI have reduced each year since 2015. During 2017 the number of cell phone related incidents was less than half the average reported by the other facilities. Cell phones still appear to be a concern at LCI; however, not to the extent recognized at most of the other facilities reviewed.



Source: SCDC RIM

One of the keys to an effective contraband prevention and detection plan is to establish a realistic plan based on existing resources to prevent, identify and detect contraband as a facility-wide goal. Part of the plan should ensure fundamental practices, including searches, patrol, detection and intelligence gathering are consistently incorporated into daily workload activities by all staff, not just those assigned to contraband control. Once an employee becomes responsible for more than one post assignment their ability to carry out all the necessary functions diminishes. It becomes extremely difficult based on the overall workload to conduct a thorough search of an individual, cell or area when the officer is the only security staff member on a wing. It takes time, skill and focus to conduct a proper search. At Lee, security staff are routinely responsible for more than one post assignment at a time due to overall staffing levels.



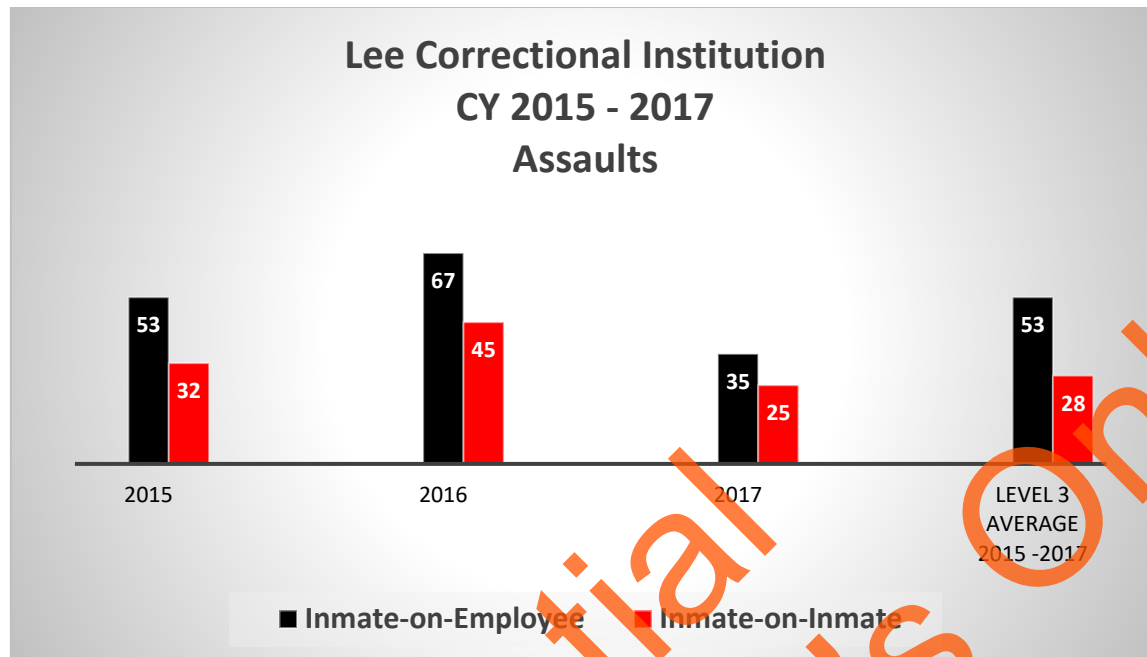
The Director of the department has been at the forefront on a national basis calling for federal support to change laws to allow cell phone jamming in correctional facilities. The Communications Act of 1934 and the Telecommunications Act of 1996 prohibit the operation of cell-phone-jamming equipment by any person, including state and local officials. In addition, the Act prohibits the manufacture, importation, marketing, sale or operation of devices deliberately designed to jam or disrupt wireless communications.

Security netting has been installed at the Ridgeland Correctional Institution expanding the height of the perimeter fence increasing the difficulty of throwing contraband over the perimeter. Additional institutions are scheduled to have the expanded netting installed.

**Assaults.** A second risk factor that is often associated with staffing levels is the number of assaults that occur at a facility. The number of staff, staff training and the experience level of staff is often referenced as one of the causes of prison violence. Although there is no internal or external study that supports insufficient staffing as the cause of violence, in most cases it should be considered a contributing factor. Having a sufficient number of well-trained knowledgeable staff assigned to appropriate locations should be the goal of every facility. The conjecture is that if properly trained staff were present and available as identified in the recommended staffing plan, the chances an incident resulting in an assault occurs may not be as high. This may not always be the case; however, it should be considered a fair assumption.

It has been my experience, most but not all inmates when contemplating committing an assault look for opportunities to carry out the act without being detected. Having a total of between one and two staff assigned to a 250-bed housing unit which contains limited to no electronic surveillance support or having one staff member on the courtyard during movement periods, creates an environment where the perceived opportunity to commit an assault can initially go undetected. This appears to be the case at Lee. There is simply not enough staff supported by available surveillance equipment to consistently cover all the required areas and send the message to the inmate population that when involved in criminal activity the risk of being apprehended for the same will be great.

At Lee as previously mentioned an assault resulting in the death of an inmate occurred in 2009, 2016, 2017 and 2018. This is an extremely high number of fatal incidents for any facility. The total number of assault related incidents reported in 2017 were less than the overall average and less than the two previous years. This included a decrease in both assaults on inmates and assaults on employees. The following chart reflects assaults still occur; however, at a higher than acceptable level. It is of considerable concern that in the past three years at least one homicide has occurred at the facility. This should be considered a contributing factor to staff turnover rates, number of qualified applicants seeking employment at LCI and whether staff wish to continue to be a part of this type of work environment.



Source: SCDC RIM

### Key Positions

Administration. The approved administrative core positions for the facility include a superintendent (Warden) and two assistant superintendents (Associate Warden of Operations/Associate Warden of Programs). On the date of the on-site assessment all the administrative core positions were filled. The Warden was debriefed and interviewed at the start and conclusion of the on-site assessment and was available throughout the day to discuss facility operations and to clarify pertinent staffing-related questions.

Supervisor Posts. The highest-ranking uniformed security position is the major. On the date of the site visit the major position was filled. This position is routinely considered the Chief of Security and reports to the associate warden of operations. Seven captains were assigned to the facility during the reporting period of which one filled the administrative captain role and six are assigned as housing unit managers. The administrative captain is considered the *C-Card* shift commander, lead captain and primary operational assistant to the major. On the day of the on-site visit the administrative captain provided the escort throughout the facility.

Each of the (4) 12-hour shifts are supervised by a lead lieutenant who is normally assisted by at least one lieutenant assigned to the shift. The shift supervisor is responsible for overseeing shift operations, deployment of security personnel and meeting facility security needs as they arise. During the reporting period **there were five vacant lieutenant positions and three lieutenants on extended leave status.** As a result, each shift was operating with less than a full complement of lieutenants.

In addition to the lieutenant position all the (4) 12-hour shifts have sergeants available to assist primarily in providing supervision in the restricted housing unit, yard and general population housing units.

The 12-hour day shift starts at 6:45 am and is scheduled to conclude at 7:00 pm. The evening shift starts at 6:45 pm and normally concludes at 7:00 am. Each shift includes an employee paid fifteen-minute shift briefing prior to proceeding to their assignment.

LCI also applies a “blended” scheduling model that includes security staff being scheduled to work an 8-hour shift. Under blended scheduling the supervisor post assignments that have more variable levels of work are assigned to an 8-hour post. The 8-hour shift, known as the *C-Card* is supervised by the administrative captain.

At Lee the 8-hour shift supervisory post assignments primarily include the following: Unit Managers, Restricted Housing Unit Supervisors, Training, Environmental Health and Safety, Contraband, Transportation, Cafeteria, Armory/Key Control, Security Threat Group (STG) and Yard. Most supervisory staff assigned to the 8-hour shift are initially scheduled to work from 8:00 am to 4:00 pm Monday through Friday; however, various starting and ending times are used to maximize coverage to best meet the needs of the facility.

In the housing units at LCI the unit management concept has been adopted. Unit Managers consist of veteran security personnel that fill a captain’s position on the roster. These non-uniformed supervisors serve both as the housing unit administrator and operations manager and are responsible for managing activities and staff assigned to a specific housing unit. Working with the unit manager may include a non-uniformed lieutenant and/or sergeant who serves as the assistant unit manager of a housing unit and as a counselor to inmates assigned to the unit. During the reporting period there were (6) unit managers assigned to six different housing units. In addition to the unit managers there were six lieutenants and five sergeants who were serving as unit counselors for the seven housing units.

Due to the limited number of front-line security staff available to be assigned to the housing units, and the workload responsibility associated with operating a unit staff assigned as the unit manager and counselor often deviate from their designed roles to fill a more traditional officer and/or sergeant role.

The approved funding level for security supervisors at LCI allowed for (81) positions of which (70) were filled. The sergeant position averaged seven vacancies and the lieutenant position averaged four vacancies during the reporting period. Overall staffing levels, number of qualified candidates and the lack of overtime compensation for the lieutenants were cited as contributing factors to consistent vacancies.

Front-Line Security Posts. For this study, front-line security staff positions include cadets, correctional officer I/II’s and corporals. Cadets are those uniformed individuals that are 18 to 20 years of age, have not received all the firearms training required of an officer and are limited in where they can be assigned. On the date of the site visit there were six cadets. Correctional Officer I/II’s are the traditional front-line security staff member age 21 and over and once certified may normally be assigned to any front-line post assignment. Corporals are non-supervisory lead officers normally with a minimum of 18 months experience that may be assigned to any front-line staff post within the facility. Individuals in these positions normally serve as the lead employee when two or more front-line staff are working together. For the most part based on current practice and because of existing staffing levels the Officer I’s and Corporals are frequently interchangeable when considering post assignments.

FLS staffing levels reflected that **approximately 55% of the front-line security staff had been at the facility for less than one year.**

Security personnel with less than one year of service are normally not allowed to be assigned to transportation post assignments, restricted housing unit or provide hospital coverage. All but three of the certified staff with less than one year of service were assigned to the 12-hour shifts. As a result, a significant number of the post assignments within the facility were being filled by front-line personnel with less than one year of experience at the facility.

Key post assignments where front-line security staff are normally assigned include: Front Gate, Main Control, Perimeter Patrol, Perimeter Towers, Transportation, Medical, Disciplinary Hearing Officer, Personal Property, Education/Library, DHO Recorder, Utility, Back Gate, Visitation, Contraband, Horticulture, Grounds Maintenance, Prison Industries, Cafeteria, Housing Units, Restricted Housing Unit and the Infirmary. Some of these post assignments are required to be filled 24-hours per day, seven days per week, while others may be required to be filled for 12-hours, 10-hours, 8-hours or less per day ranging between two and seven days per week. Shift schedules are designed to allow for the concentration of security staffing levels to be available at times when the workload and activity levels in a specific area are generally higher.

The recent reporting period of July 2017 to December 2017 showed an average of approximately 61.3% of the filled security positions were considered front-line security (FLS) positions. The approved funding level for FLS staff at LCI allowed for (179) positions of which on average (111) were filled. As a result, all the front-line post assignments and associated responsibilities are not consistently being met.

### **Roster Management**

Roster management and staff scheduling at LCI are considered essential elements in the daily operation of the facility. In-house roster management for security positions are performed primarily by the administrative captain in concert with the shift commanders.

A post chart has been developed by the *Division of Security* as required by policy to identify recommended staffing levels and to guide facility personnel on where and when to fill identified post assignments. In addition, minimum staffing levels have been established for the 12-hour day and evening shifts. At Lee the 12-hour minimum staffing level established by the *Division of Security* for the day shift is (34) and for the evening shift is (30). A review of the sample daily rosters reflected the facility rarely meets the minimum established staffing standards. On the date of the on-site assessment, there were fewer than (34) staff assigned to either of the 12-hour day shifts, and fewer than (30) staff assigned to either of the evening shifts.

Shift Assignments. Facility management personnel at LCI have developed a master shift assignment roster for security staff that identifies the names of the personnel assigned to each shift, their position classification, gender, race, authorized strength and status. The *C-Card* roster also identified the employee's normal post assignment.

At Lee all security staff, except for those assigned to Prison Industries are normally scheduled to work either a 12-hour shift with rotating days-off or an eight-hour shift Monday through Friday. Security personnel normally assigned to Prison Industries are scheduled to work four consecutive ten-hour days with three days-off to be consistent with program operations.

The November 2017 master shift assignment roster indicated security staff were primarily assigned to one of five shifts. The (4) 12-hour shifts showed both front-line and supervisory staff were assigned to all four of the shifts. Each shift had at least one lieutenant and four sergeants assigned. On the D-2 shift which is an evening shift there was only one lieutenant. All the rest of the shifts had at least two lieutenants.

The number of front-line staff reportedly assigned to each of the (4) 12-hour shifts during the on-site assessment includes the following:

- D1 Shift. This is a 12-hour day shift that is normally scheduled to work from 6:45 am to 7:00 pm. There were (18) front-line positions filled and one of the officers were on extended leave status unavailable to fill a post assignment. The recommended number of FLS staff for the shift is approximately 62;
- E1 Shift. This is the alternating 12-hour day shift where staff are scheduled to work from 6:45 am to 7:00 pm when the D1 Shift staff is scheduled off. There were (18) front-line staff positions filled. The recommended number of FLS staff for the shift is 62;
- D2 Shift. This is a 12-hour night shift that is normally scheduled to work from 6:45 pm to 7:00 am. There were (17) front-line staff positions filled and one of the officers was on extended leave status unavailable to fill a post assignment. The recommended number of FLS staff for the shift is approximately 48; and
- E2 Shift. This is the alternating 12-hour night shift where staff are scheduled to work from 6:45 pm to 7:00 am when the D2 Shift is scheduled off. There were (19) front-line positions filled and one officer assigned to the shift was on extended leave status unavailable to fill a post assignment. The recommended number of FLS staff for the shift is approximately 48.

To put into perspective the available front-line staffing levels compared with workload responsibilities, to staff **just the front-line post assignments where inmates reside**, including the six general population housing units, the infirmary and restricted housing unit (33) staff be required on each day shift and (25) on each evening shift when all housing units were operational. Not one of the (4) 12-hour shifts had more than 18 front-line staff consistently available. To fill the remaining required posts facility management personnel must rely on staff assigned to the C-Card, staff working overtime, supervisory staff filling line staff positions and/or assign staff to work more than one post assignment.

Overall except for the number of lieutenants assigned to the D-2 shift, the (4) 12-hour shifts appeared deficient in number; however, balanced appropriately based on total number of staff assigned to the facility.

Daily Shift Roster. In addition to the master shift assignment roster daily shift rosters are also maintained for the 12-hour shifts that identify in more detail the actual staff assigned by day, their post assignment, staff on leave and responders. The daily shift rosters are designed to identify how scheduled personnel are utilized and provide a best practice tool for documenting staff accountability. Sample daily post assignment rosters reflected there is no recapitulation data provided or when appropriate a consistent reference to staff assigned to the shift working extra hours. At Lee, over a million dollars of overtime expenditures were reported during the first eleven months of 2017.



The C-Card maintains an automated daily shift roster that identifies the post number, code, post description, area, post type, responder, name of the employee, gender and if applicable leave status. Staff reported a manual daily shift assignment roster was not normally being completed for the C-Card. As a result, there is no reference to post classification levels or a recapitulation table for the C-Card shift.

Daily shift rosters should be considered a critical document that must be completed both accurately and completely to assist facility management on identifying how staff are utilized on each shift.

Post Coverage. By memorandum from the *Division of Security*, post assignments should be classified as either, Pull Post Level I, Level II, or Level III (mandatory) to assist shift supervisors when determining which posts can be temporarily collapsed or closed due to staff shortages, emergencies, overtime reduction efforts or other reasons deemed necessary by the shift commander or facility management. The classification of post assignments is designed to ensure certain post are shut down first.

Completed daily rosters revealed staff were being assigned to critical areas and there was no evidence staff were being assigned to posts that could be closed while mandatory posts were being left unfilled; however, post classifications were not clearly identified on the daily rosters.

Sample daily shift rosters and staff interviews reflected it was evident all the mandatory posts identified in the *Division of Security* post chart were not consistently being filled.

The discrepancy between operational practice and recommended mandatory posts was widespread and not a reflection of just one or two posts. The primary difference was in the number of posts being filled when more than one post is identified in the post chart.

For example, in the post chart the *outer perimeter patrol* post is identified as two posts to be filled on a 24/7 basis. Based on staff interviews and a review of completed daily shift rosters one post is normally filled instead of two. Additional discrepancies between the operational practice and recommended level III (mandatory) posts include the following:

- Main Control. The day shift does not always fill both mandatory post assignments as recommended. *C-Card* staff are used to assist on the shift when available;
- Cafeteria: A dedicated cafeteria officer is not always available during the day shift. Security staff supervision is provided intermittently using available shift supervisors, front-line staff and unit management personnel;
- Infirmary. All 12-hour daily shift assignment rosters do not identify security staff being assigned to the infirmary;
- Plaza Gate. The Plaza Gate is rarely staffed during the evening shift;
- Back Dock/Courtyard. The dedicated post is rarely filled;
- Housing Units. The daily shift rosters do not consistently reflect ten or more front-line security staff being assigned to the five general population housing units;



- Normal operational practice based on site observation, staff interviews and completed daily rosters indicates one front-line officer is assigned to each of the five units and between two and three are officers are assigned to the housing unit which contains a secure control room and sliding cell doors. Unit management personnel are often available on the weekdays to assist during peak activity hours;
- Restricted Housing Unit Wing (5). One section of the RHU was closed reducing the need for (5) Wing Officers. Completed daily rosters consistently reflected fewer than (5) Wing Officers assigned;
- Restricted Housing Unit Control (2). Current practice is to staff one RHU control room due to the closure of one section of the RHU; and
- Special Housing/Rich Wing (2). The special housing unit is currently being used to house general population inmates. On the day of the site visit there were two officers assigned to the housing unit wings. Completed staff rosters reflected normally one wing officer is assigned.

At Lee, the basic elements of a roster management system including the identification of post assignments, recommended staffing levels, shift scheduling and daily shift roster development are all in place.

The primary concerns with the system include the following:

- The post chart identifies mandatory posts that need to be filled and are not routinely filled. There is not enough staff assigned to fill the posts. The current operating practice when an insufficient number of staff are available is for command personnel to contact qualified staff currently assigned or on their off-day to determine their interest in working extra hours. Based on the number of staff that are scheduled and interested the shift fills as many posts as possible. Most often this results in mandatory posts going unfilled. It is highly recommended that updated voluntary "extra hour" lists be maintained, and a revolving mandatory list be established as a last resort;
- The recommended minimum staffing levels for each 12-hour shift needs to be reviewed and updated on a regular basis. Daily shift rosters reflected established minimum staffing levels were not being met on a consistent basis due to available staffing.

Monthly an in-house review should be completed to determine the effectiveness of the system and to confirm or re-establish realistic minimum staffing levels; and

- Daily shift rosters need to be updated to reflect how all staff assigned to the shift are utilized.

The daily roster should identify the names of all staff assigned to the shift, the approved post assignments, the post classification, post closures and the employee assigned to each post. Staff assigned to posts for less than a full shift, detailed to a special assignment, working extra hours or using benefit time should be clearly identified on the daily roster.

## Staffing Recommendations

The most significant concerns expressed by facility personnel during the on-site review involved the impact available staffing levels and the work conditions were having on the operations of the facility. Front-line staffing levels in January 2012 were (191). In January 2017 front-line staffing levels were (101).

To put into perspective the impact losing (90) front-line positions has on facility operations, when applying a shift relief factor, a total of (90) staff would be able to fill (17.54) 24-hour seven-day post assignments throughout the year (90/5.13 SRF). The applied shift relief factor is based on staff being scheduled to work (168) hours in a 28-day cycle.

Operating with (90) fewer FLS staff means (17.54) 24-hour seven-day posts are not being filled or some if not all the posts are being filled by a combination of staff working extra hours often at an overtime rate, staff in other position classifications, staff filling more than one post assignment, or posts being filled intermittently.

Staff interviews reported generally fewer staff were being assigned to each shift, less work was getting done and safety concerns were rising. Specific concerns reported by staff related to staffing levels involved not being able to meet their responsibilities because of being assigned to more than one post at a time and not having sufficient support from supervisors. Additional work conditions referenced the lack of having annual merit increases for qualified staff, annual job performance evaluations not being completed, loss of benefit time if not used by select position classifications and the ability to earn overtime for lieutenants.

The facility had been operating at approximately 69.6% of the approved funding level during the five-month reporting period resulting in several post assignments and associated responsibilities not routinely being met.

## Recommended Post Assignment Enhancements

**Court Yard.** The Lee Correctional Institution is a campus-style facility divided primarily into two sides. The two sides are separated by interior fencing, security gates, and program and service buildings. Access from one-side of the facility to the other is primarily through interior gates. Each side has three housing units, a courtyard, interior fencing, dining hall, canteen, prison industries, vocational education program, pill line distribution and access to program services.

All the authorized movement at Lee is considered controlled movement that includes in part unescorted movement between the housing units and program and service areas. To get from the housing units to most program activities and services inmates are required to walk through the courtyard which includes interior fencing and gates.

It is essential and a fundamental correctional practice in a maximum-security facility that security staff be present to monitor, control access and authorize inmate movement.

Based on the size of the facility, type of inmate housed and location of work, program and service areas, dedicated yard officers should be consistently assigned to each courtyard to control access, monitor existing activity levels, provide internal roving physical plant security in all courtyard areas of the facility and serve as primary responders;

**Kitchen/Dock.** LCI routinely requires supervisory personnel to assist in providing security supervision during meal periods and relies on food service personnel to assist in providing on-site security. The *Division of Security* post chart identifies one seven day 12-hr. post during the day shift. Based on staff interviews and a review of daily post assignment rosters a dedicated officer is not consistently being assigned.

The cafeteria is divided into three primary sections, the dining area, serving line and kitchen. The kitchen contains a food preparation area, storage, office space and access to the loading dock. This area includes multiple blind spots, culinary tools, a high number of assigned inmates and access to outside the building including the dock area for the cafeteria. Food service personnel are present in the area; however, their primary focus is on food preparation and getting the meals ready to be served. No security personnel are normally assigned to the kitchen/dock area which should be considered a critical post and high-risk area during operating hours. A Back Dock/Courtyard post has been established which would include, dock supervision; however, the post is rarely filled. The recommended post chart includes the provision for a Kitchen/Dock position;

**Housing Units.** The general population housing units when fully operational each have an operating capacity of 256. Approximately 84% of the inmates housed at Lee are considered level III maximum custody inmates. These are generally individuals with a history of violence with long sentences and/or inmates who have exhibited behavioral problems while in the system. Security surveillance cameras are available in select common areas within the unit to support assigned personnel.

In five of the general population units the inmates are housed in one of two multi-level wings located within each unit. Each wing is separated by an interior sally port that contains a secure entry/exit to the building, work space and entry into each wing. Visibility from the sally port area into each wing is limited. The BLIC character-based program is provided in two of the units.

In the sixth general population unit, there is a secure elevated control room surrounded by four separate housing unit wings. Some of the cell doors in two and one-half of the wings were reported to be able to be manipulated to not lock; however, a locking project was being completed during the on-site assessment to include installing additional locks on all cells in the housing unit. Current operational practices include staffing on a continuous basis the control room and when available, security staff be assigned to the housing wings. Actual staffing levels vary by shift, day and the availability of supervisory staff and unit management personnel.

Based on the everyday responsibilities of an officer and the activity levels of each unit, the practice of having between one and two officers assigned to provide security, custody and control of 250 maximum custody inmates is inconsistent with realistic expectations of what an officer can accomplish. Relying on supervisory staff to assist in front-line responsibilities impacts the ability of the supervisor to meet their position responsibilities. As a result, sufficient supervision in the housing units is not consistently being provided in the units. Additional posts assignments are recommended for the housing units to meet established responsibilities;

**Medical.** The medical unit at Lee provides a variety of traditional services found in the operation of a correctional facility medical unit. Pill lines, Insulin, Exams, Chronic Clinics, Doctor Appointments, Dental services, Interviews and Sick Call. In addition, there is a 20-bed infirmary connected to the medical unit. Since maximum security medically dependent inmates reside in the unit, staff should be present always.

Since the activity level during the days shift involves inmate interaction between civilian staff and contractors, security staff should be present to monitor and control movement and activity levels in the service areas.

The current practice is to have one FLS staff assigned to the medical unit, including the infirmary. The primary workload responsibilities of the officer include controlling access into the medical unit, supervision of the inmate waiting area, conducting counts, circulating throughout the service area and supervising the infirmary. Based on the location of the front entrance of the medical unit, medical waiting room, activity schedule and the limited surveillance technology available, a minimum of two FLS staff during the day shift is recommended, and one FLS to be assigned to the infirmary at night;

**Hospital Coverage.** LCI is responsible for providing security supervision for inmates assigned to an outside hospital when needed. Hospital coverage records provided by LCI for a recent ninety-day period (August – October 2017) reflected that for forty-five days staff were assigned to an outside hospital to provide on-site supervision of an inmate that had been admitted. Although this workload responsibility does not occur every day it does occur on a relatively frequent enough basis resulting in staff being pulled from other post assignments or being assigned at an overtime rate. A total of (83) inmates were admitted to an outside hospital during the ninety-day period resulting in LCI staff supervision. Additional hospital/transportation posts are recommended to address the increase in workload;

**Restricted Housing Unit.** The Restricted Housing Unit consists of two separate multi-level sections, each containing two housing wings and a secure control room located in between each wing. **One of the housing sections was not being used and considered inoperable.** The living areas provide secure cells including four safety cells which contain security cameras. All cells have a toilet and wash basin. Each wing contains two tiers, surveillance cameras, a small dayroom area, secure cells, recreational space and showers. The capacity of the one unit is (92);

The two wings are separated by a secure control room available to provide added security, visibility into the wings, remote access control and security support. The control room is required to be staffed on a 24-hour basis. In-house policy requires assigned staff to conduct 30-minute security checks, escort medical personnel on the wing, deliver mail as needed, deliver meals, conduct inmate counts, escort inmates to the shower, visitation and recreation area, complete cell searches and conduct building security checks. For inmates to be escorted out of their cell, a minimum of two staff are required to be present. All these responsibilities require additional security personnel other than the officer assigned to the control room. This is a staff intensive high security unit and when sufficient personnel are not available, required responsibilities may not usually be met, including providing access to showers and/or recreation in a manner consistent with policy. Additional posts are recommended to provide sufficient personnel to meet responsibilities consistent with policy;

**Post Relief.** In view of the available staffing levels at Lee, staff assigned to the shift, do not normally receive a meal break. There is usually no staff available to provide such relief. State and federal regulations do not mandate employers to provide breaks; however, SCDC policy does. Under the current circumstances and based on existing staffing practices most front-line staff are not only filling one post assignment they are routinely filling two. The value and benefits of providing a short break to staff filling 12-hour posts can be significant. Establishing "Security/Relief" posts that provide temporary relief to staff assigned to a 12-hour post as stipulated by policy should be seriously considered. Posts are recommended to provide break reliefs and support to meet established policy.

**Shift Relief.** A shift relief factor is not consistently reflected in the current staffing levels. Applying the number of security personnel time-off is generally covered through assigning overtime, closing posts, or redeploying staff from other designated post assignments. A shift relief factor is being recommended for most post assignments.

### Shift Relief Factor (SRF)

An updated shift relief factor has been developed for Lee based on data provided by personnel assigned to the Research and Information Management Division (RIM). The shift relief factor (SRF) represents the number of staff required to fill a post assignment throughout the year based on the number of hours the post needs to be filled divided by the number of hours the average employee assigned to the post is available.

Staff attendance, off-post hours and leave-time results are inputted into a department recognized electronic data base and transferred into an automated system that can identify the shift relief factor. The SRF electronic workbooks have been set up to allow the user to specify the institution and hours per shift which will automatically recalculate the SRF accordingly.

The SRF calculation for this project is based on the following:

- All security staff (cadets – major) who were assigned to the institution during the entire year;
- A blended work schedule, including the use of both an eight-hour administrative shift (160 hours) and the straight 12's (168 hours) schedule;
- An average of the three most recent completed years that was available at the time the report was being initially prepared. This included 2015, 2016 and 2017. The purpose of evaluating data from the past three years instead of one year minimizes the chances the SRF will be influenced by one or more unusual factors or outliers;
- At Lee the average full-term security employee used approximately (113) hours of "sick-time" over the recent three-year period. In 2017 the average was (122) hours.
- The SRF is reflective of the facility being fully staffed; and
- Most posts recommended are considered relief posts. Refer to Appendix A for the detailed formula used to determine shift relief factors and the post chart appendix to identify specific post assignments being recommended.

<b>Lee Correctional Institution Shift Relief Factors - 2018</b>			
<b>Average 2015, 2016, 2017</b>	<b>8 Hour Shift 5-days</b>	<b>8 Hour Shift 24/7-Days (160 hrs.)</b>	<b>Straight 12-Hour Shift 24/7 days (168 hrs.)</b>
<b>Institution</b>			
<b>Lee CI</b>	<b>1.32</b>	<b>5.56</b>	<b>5.13</b>

A shift relief factor of 5.13 can be translated to mean that for one year an average of slightly more than five staff (5.13) will be required to fill one 24-hour post assignment when applying the straight 12-hour shift schedule (168 hours). A five-day shift relief factor for an 8-hour post assignment requires an average of 1.32 staff (160 hours) throughout the year.

### **Staffing Level Recommendations**

A recommended post chart has been developed to identify the number of security staff recommended to meet the current mission of the Lee Correctional Institution when fully operational. As the mission changes the staff requirement may also change.

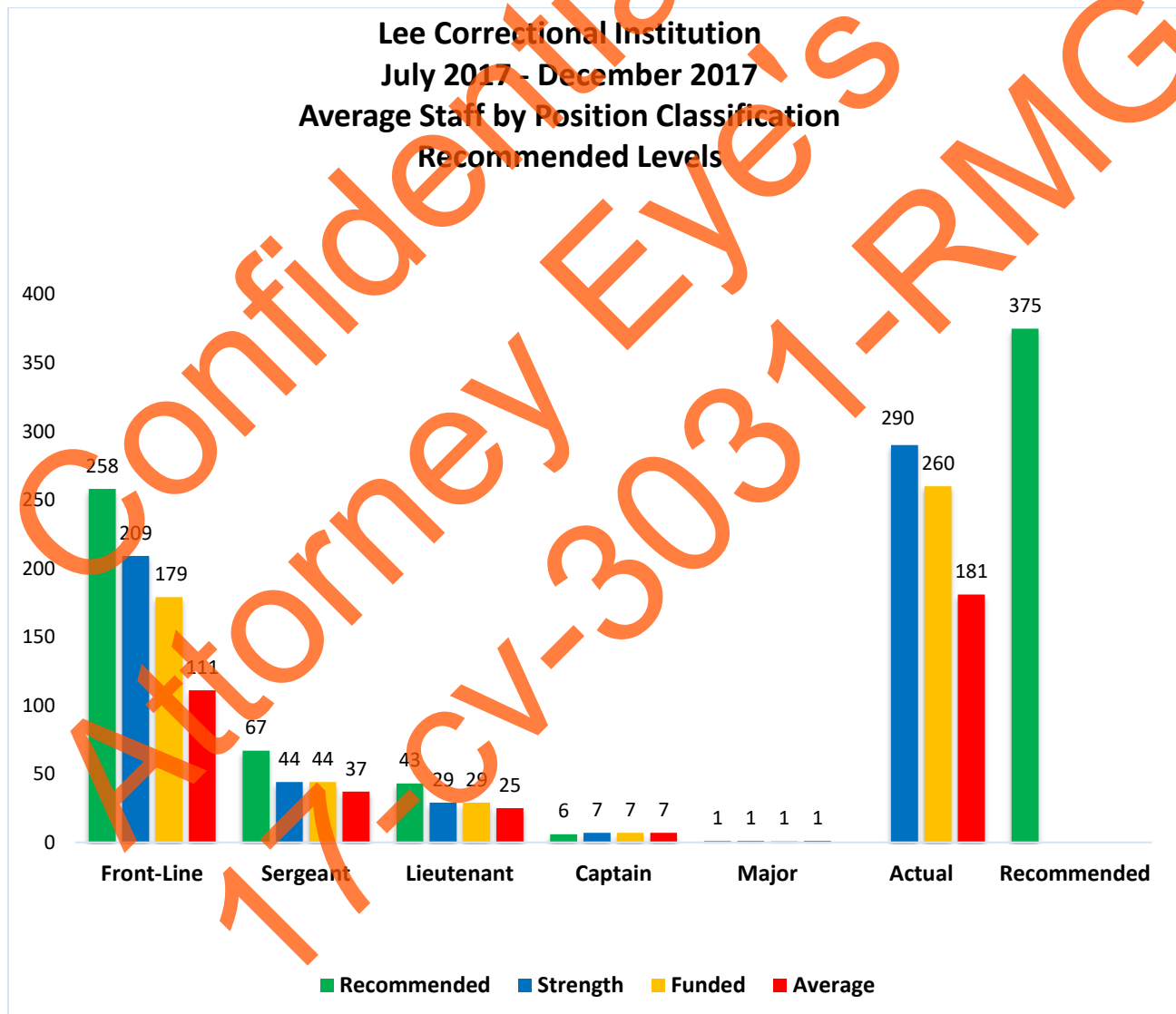
The staffing recommendation is based on applying the following:

- A blended work schedule consisting of a 12-hour work schedule (168 hours) and an 8-hour (160 hours) administrative schedule;
- A 28-day pay cycle applying Section 7(k) of the Fair Labor Standards Act (FLSA) to determine the overtime threshold;
- A shift relief factor based on the most recent available three-year average leave-time and reported authorized time unavailable to fill a post, i.e. staff training, breaks;
- The facility being fully operational including staffing all existing housing, program and service areas;
- The facility continuing to operate under the established policies and mission at the time of the review; and
- Taking into consideration security staffing related requirements as stipulated by court orders, state and federal laws.



Lee Correctional Institution – Security Staffing Recommendation	
<i>Position Classification</i>	<i>FTE</i>
Major	1
Captains	6
Lieutenants	43
Sergeants	67
Front-Line Staff	258
<b>Total</b>	<b>375</b>

The recommended security staffing level for the Lee Correctional Institution is 375. The facility had been operating at 48.3% of the recommended level during the reporting period. A detailed listing of recommended post assignments can be found in the appendix.



## Lieber Correctional Institution

The Lieber Correctional Institution (LCI) is a state operated level 3 facility located approximately 90 miles southeast of Columbia in the town of Ridgeville, South Carolina. The facility was opened in 1986 and serves as one of South Carolina's maximum-security adult male correctional facilities. The reported capacity at Lieber is 1294 and the average daily population during the first nine months of 2017 was 1,194. One wing of a housing unit was not being used during the on-site assessment due to limited staffing levels resulting in a reduction in the current operational capacity.

While most of LCI's inmate population is considered maximum custody a small percentage of inmates (less than 9 percent) were classified as level 2 or below. Approximately 24% of the population was on a mental health caseload.

Since 1997 LCI had served as the departments' facility providing housing and services for male inmates assigned to Death Row. On September 26, 2017 the Death Row inmates were transferred out of Lieber and sent to the Kirkland Correctional Institution due in part to limited staffing levels at Lieber.

LCI currently provides housing and services for both general population and special housing programs including the Restricted Housing Unit. The Restricted Housing Unit is available for inmates requiring more intense behavioral levels of supervision and the inmates are housed and programmed separately from inmates assigned to the general population.

The physical plant operates as a maximum-security facility and is surrounded by a double fence which is reinforced with multiple rolls of concertina wire, razor ribbon, electronic surveillance equipment, high-mask lighting, sensors, roving perimeter patrol, vehicle access gates and an alarm detection system. Three new elevated security towers strategically located the outside of the perimeter fence were built to further enhance the overall security of the facility. These Towers were undergoing final construction at the time of the site visit and were not routinely being staffed as of December 2017.



Inside the perimeter are a variety of buildings and services designed to help meet existing responsibilities. The physical plant includes the following: six housing units, two separate Prison Industry Programs, Transport/Transfer Area, Recreation space, Green House/Maintenance Area, Support Services Building, Administrative Services Building and a large open yard located between the General Population Housing Units, the Administrative Services and Support Services Buildings. Internal security fencing, gates and limited surveillance equipment are available to assist in controlling internal movement.

All authorized inmate movement was considered controlled movement and the type of movement varied based on the inmates' classification, the purpose for the movement, destination and time of day. A combination of line movement (cafeteria), escorted, supervised and the use of passes (OTR's) was all being used.

Food Services is normally provided to the general population in the main cafeteria.

### Housing Unit Designs

There are three primary housing unit designs at LCI. All the housing units contain secure cells as dormitory style housing is not available at this facility. The housing unit designs are consistent with nationally recognized practices for a level 3 facility. In total there are six inmate housing units at LCI.

- General Population.** The general population Inmate housing units consist of five two-tier units of which four are similar in design. **In the front center of each of the four similar designed units is a secure sally port and staff working space. Limited visibility into the living areas is available from the sally port.** The living areas within the units are referred to as "wings" as they represent one of two primary housing areas. The living areas contain double occupancy cells and each cell contains a toilet, bed and wash basin. Showers, dayroom space, telephones and passive recreation are available in the living area. A secure outdoor recreation space is located adjacent to each unit. The total capacity of a wing in the four indirect supervision housing units is approximately (126).
- Wando.** The fifth general population unit, referred to as "Wando", has a secure elevated control center located in the middle of the unit and is surrounded by four wings each having a housing capacity of approximately (62). Security staff are assigned to the control room on a 24-hour basis and have visibility into each housing wing. The two-tier living areas contain cells, dayroom space, showers, telephones an open officer work station for the wing officer and passive recreation. Outdoor recreation space is available adjacent to the building.
- Restricted Housing Unit (RHU).** RHU consists of two separate housing units. Each housing area has a secure control room and (2) wings one on each side of the control room. The control rooms contain video monitors, security equipment and an electronic access control panel that operates the security doors within the unit. Each wing contains two open levels (ground and mezzanine), surveillance cameras, a dayroom area, secure cells, recreational space and showers. All cells contain toilets and wash basins.

One of the units had previously been used to house male inmates sentenced to death. Department and facility policy requires a minimum of two officers to be present when opening an inmates cell door and while escorting an inmate assigned to the RHU in and out of their cell. Policy also requires staff be present when an inmate is assigned to the recreation yard.

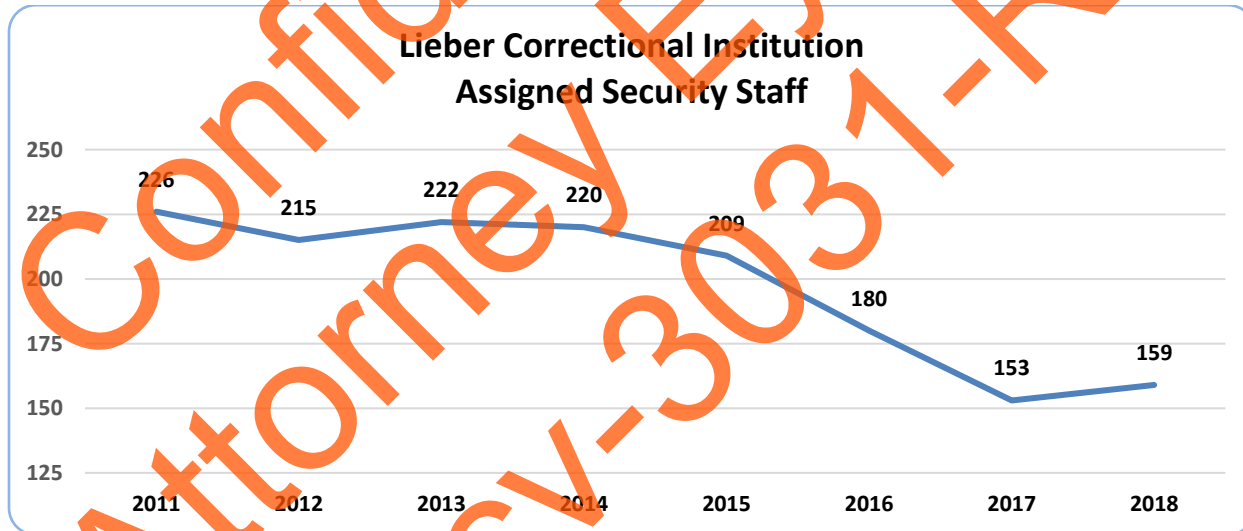
## Program Services

Program services are available at LCI and integrated into the daily facility schedule. Primary programming includes: ABE/GED, Vocational Education, Religious Services, Anger Management, Volunteer Services, Alcohol and Drug Education, Mental Health Services, Recreation, Character-Based Program, Visitation, Commissary and two separate Prison Industry Programs.

## Security Staffing Profile

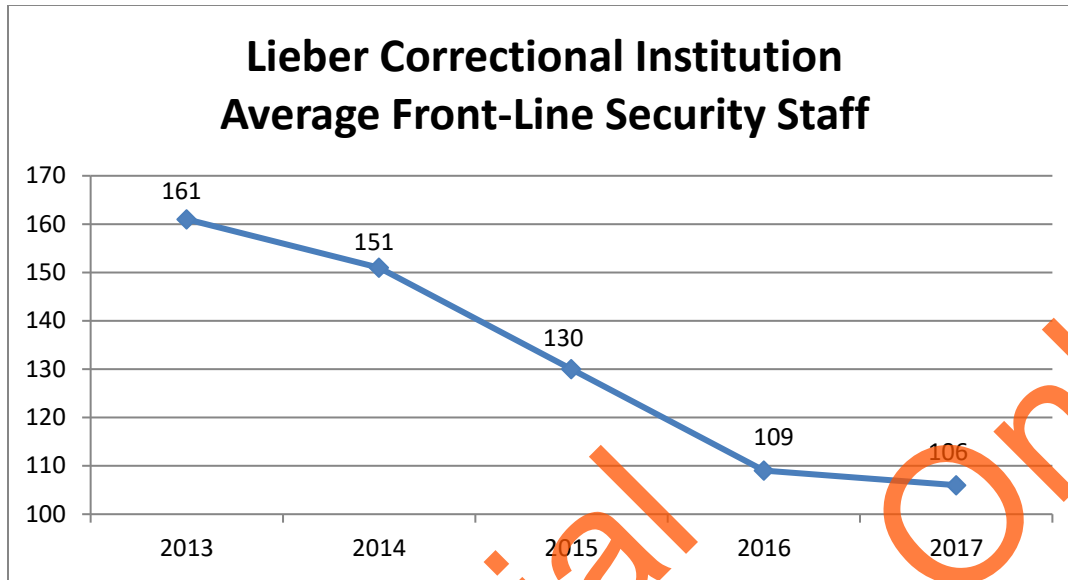
On the date of the site visit (*September 20, 2017*) there were (157) full-time security staff positions reportedly filled. The approved *funding level* was (232) and the recognized *authorized strength* was (249). The approved *funding level* is the number of personnel in each position classification approved by the department to be filled. The *authorized strength* is the current recognized number of security positions identified to operate the facility safely. The *authorized strength* number is determined by the SCDC *Division of Security* with feedback from facility management personnel.

The existence of security staff vacancies has been a well-publicized concern at Lieber for an extended period. In January 2011 the security staffing level was (226). During that month the highest security staffing level for the seven-year period from January 2011 to January 2018 was reported. On January 1, 2018 the reported security staffing level was (159), a 29.6% decrease from January 2011. The security staffing level at LCI has consistently gone down every year since calendar 2013, except for most recently in 2017. The figures below identify the number of filled positions reported on January 1 of each corresponding year.



Source: SCDC RIM

As of January 2018, the facility was operating at 69.4% of the approved security staff funding level. The primary difference in the security staffing levels from each year is in the number of front-line positions filled. This includes cadets, correctional officer I/II's and corporals. The decrease in front-line security (FLS) staffing levels began in 2013 and had continued to decline through June 2017. The average number of filled **FLS staff positions** for each year since 2013 was the following:



Source: SCDC RIM

In 2017 the facility was operating on average with approximately 34% fewer FLS staff than were available in 2013. The only significant workload difference that took place at LCI during the five-year span was the removal of death row inmates in September 2017. Select inmates requiring Restricted Housing from other facilities have since been transferred to LCI and were reportedly being housed in the RHU.

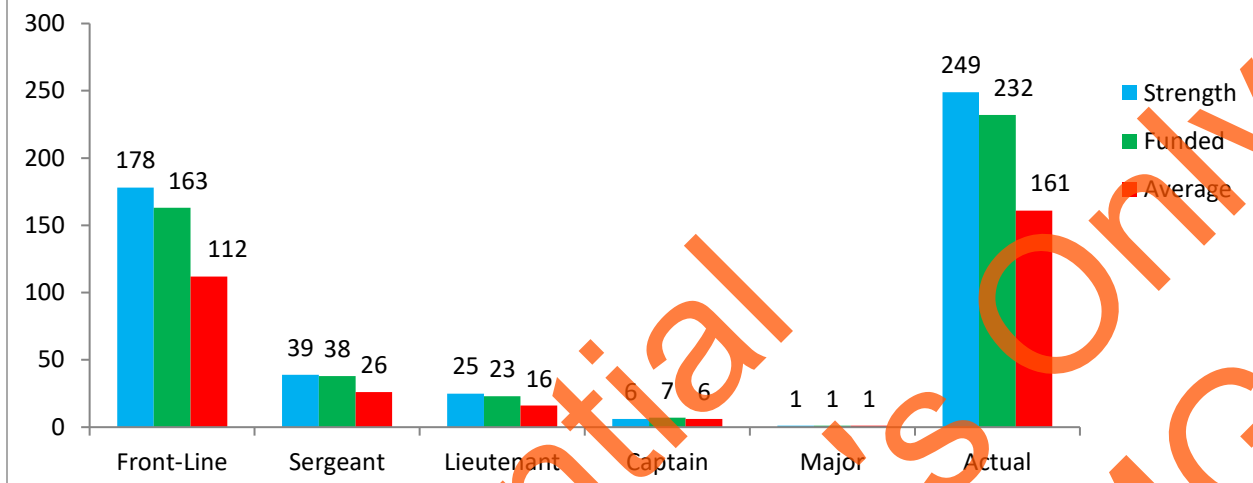
#### Recent Staffing Trends

As noted in the chart below during the reporting period the facility was operating at a level where on average there were approximately 71 funded positions that were not being filled. These were funded positions that had been approved by the department to be filled, however, remained vacant. The vacancy rate has improved slightly since June 2017 when compared with the first five months of 2017. Over half of those vacant positions were in front-line security positions. In respect to the recommended *authorized strength* level the facility was operating on average during this reporting period with 88 positions unfilled.

The following chart identifies the average staffing level by position category during the reporting period of July 1 through December 1, 2017. The front-line positions include cadets, officer I/II's and corporals.



## Lieber Correctional Institution July 2017 - December 2017 Average Staff by Position Classification



Source: SCDC RIM

As reflected, the largest number of vacancies (71.8%) was in the front-line staff positions. These are the positions that normally have the most frequent direct contact with inmates and routinely include posts such as housing units, transportation, hospital coverage, inmate escorts and direct security within a specific area. When considering total security staffing levels, the facility has operated at approximately 69.4 percent of the approved funding level during the reported period.

### Operational Initiatives in Response to Staffing Levels

In view of the staffing levels facility management personnel have adjusted their staffing plan by implementing the following:

- Staff responsibilities are expanded beyond the established post order.** Each post assignment includes a written post order that describes the normal responsibilities associated with the post (OP-22.24)<sup>25</sup>. Under normal circumstances security staff are responsible for one post at a time. Staff assigned to existing posts are routinely required to be responsible for meeting both their assigned responsibilities and responsibilities of an additional post. As a result, fundamental correctional practices are not consistently being performed, including regular thorough cell inspections, building and area inspections, pat-down searches, timely escorts, area supervision, pro-active security measures and providing access to recreation for all inmates assigned to the restricted housing units.

<sup>25</sup> SCDC Policy OP.22.24 Post Orders.



- **Staff are augmented to leverage existing personnel resources.** Since 71.8% of the vacancies were in the front-line staff positions staff outside those position classifications frequently are required to fill front-line post assignments. Based on a review of daily shift assignment rosters sergeants, lieutenants, unit counselors and unit managers are frequently used to meet front-line post responsibilities, limiting the amount of time available to supervise staff and/or perform their normal assigned responsibilities;
- **Mandatory post assignments are filled intermittently during a shift.** The Division of Security has developed a post chart as a guideline to identify post assignments required to be filled and when they are to be filled. Existing operational practices frequently result in mandatory posts not being filled and staff assigned to non-stationary posts, intermittently filling posts such as the yard, back gate and/or some of the housing unit posts only during peak hours;
- **The facility is placed on full or partial lockdown to limit inmate movement outside the cell.** During the first eleven months of calendar year 2017 the facility reported they were on full or partial lockdown a total of (74) days due to staff shortages. This resulted in limited inmate access to programs and services during those days and expanded time in their cell;
- **Staff initially not scheduled to work are often required to fill vacant post assignments at an overtime rate.** In July 2016 approximately \$44,436<sup>26</sup> was spent on security staff working overtime. In July 2017 approximately \$89,802 was spent on security staff working overtime. Overtime expenditures during the first nine months of 2017 was reported as \$760,067 and in 2016 during the same reporting period the expenditures were \$488,489. Facility management personnel reported the overtime increase was primarily the result of several factors including: an average of (3) fewer front-line positions were filled during calendar year 2017 when compared with calendar year 2016. When compared with 2015, the facility was operating with approximately (26) fewer FLS personnel; staff were filling vacant required post assignments during normal scheduled off-hours; staff were staying after their scheduled shift due to late reliefs; and mandatory staff training was occurring on their off-days;
- **Close a wing in one housing unit.** One of two wings in the inmate housing unit referred to as "Cooper" was closed to reduce the workload and staffing requirements of the facility;
- **Death Row was removed from LCI.** Providing appropriate staffing levels on a consistent basis in the Death Row Unit is essential to maintain the integrity of efficient operations. In view in part to the recognized staff shortages at the facility the Death Row Unit was removed from the facility;
- **Post Assignments go unfilled.** A review of daily shift assignment rosters from July 2017 through September 2017 reflect all post assignments in the housing units, transport, escort, yard, cafeteria, medical, grounds crew and education are not always filled. On the date of the site visit based on the day shift rosters (D-1 and C) there were a total of seven security staff assigned to the five housing units, including one lieutenant, one sergeant and five officers. According to the inmate count there were 1,053 inmates assigned to these five general population housing units on that day;

<sup>26</sup> South Carolina Department of Corrections Human Resources Division.

- **New Perimeter Towers not staffed.** Three new elevated staff towers have been built along the outside perimeter of the facility. Due in part to staffing levels the towers were not being used. Staffing towers is more than just about preventing escapes; it is also about controlling movement near the perimeter and preventing the introduction of contraband into the facility through the perimeter fence. The facility experienced an escape during 2017 which involved an inmate penetrating the perimeter fence and leaving undetected;
- **Personnel are often compensated at an overtime rate to complete required staff training.** Uniformed security personnel are routinely scheduled to complete required training on their off-days, resulting in additional overtime expenditures;
- **Staff assigned to 8 or 12-hour shifts do not consistently receive meal breaks.** Most staff assigned to the shifts rarely receive a recognized break from their post assignment. Federal (Fair Labor Standards Act) and state labor laws do not require the employer to provide a meal period or break to employees; however, SCDC policy does.

*SCDC Policy ADM-11.21 Regular Working Hours and Overtime cites in section 1.1 states: The official work schedule for security positions will be either 1.1.1 eight (8) hour shifts or 1.1.2 twelve (12) hour shifts on a 28-day cycle, including at least one 30-minute meal period each shift; and*

- **Staff assigned to the 12-hour shifts are routinely scheduled to work a minimum of 168 hours in a recognized 28-day pay cycle.** Staff assigned to the 12-hour shifts are scheduled to work (168) hours with the additional 8 hours compensated at straight-time. The initial department intent was to provide staff assigned to the 12-hour shifts, 8 hours off per pay cycle; however, this practice was no longer occurring. Staff working an 8-hour shift are initially scheduled to work (160) hours in a 28-day pay scale.

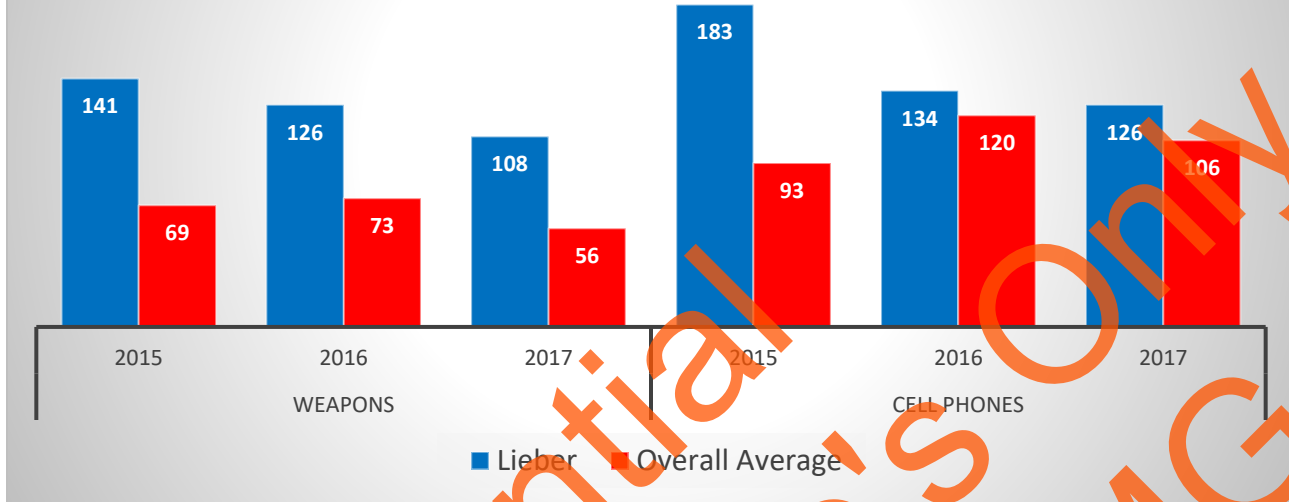
### Demonstrated Risk Factors

**Contraband Incidents.** The introduction and presence of contraband in a correctional facility is and has always been a primary management concern in operating a facility. It often leads to unauthorized movement, destruction of property, compromised staff, public trespassing, criminal activity, violence and escape. At Lieber an escape from the facility occurred in July 2017 where wire cutters and possibly a drone and cell phone were used to help facilitate the escape.

At Lieber a significant number of contraband related incidents involving weapons and/or cell phones have occurred. In comparison with other level three facilities Lieber had the most weapon and cell phone related incidents reported during the past three years. During Calendar years 2015 through 2017 Lieber reported 818<sup>27</sup> incidents involving weapons and/or cell phones. The following chart identifies the frequency in which these items were reported at Lieber in comparison with the other male facilities reviewed in this project. As shown in the chart, approximately twice the number of cell phone and weapons were reported in 2015 at Lieber when compared with the average. In 2016 and 2017 the number of incidents decreased; however, is still a major concern.

<sup>27</sup> SCDC RIM 2015 -2017 Contraband Incidents from MINs.

## Lieber Correctional Institution Weapon and Cell Phone Incidents



Source: SCDC RIM

In reviewing staff deployment patterns and interviewing personnel at the facility, there is no indication that the reason for the higher level of contraband at Lieber is due to a more pro-active in-house approach toward contraband detection and recovery. Three security staff were assigned to the contraband control detail including one lieutenant and two front line staff.

One of the keys to an effective contraband prevention and detection plan is to establish a realistic plan based on existing resources to prevent, identify and detect contraband as a facility-wide goal. Part of the plan should ensure fundamental practices, including searches, patrol, detection and intelligence gathering are consistently incorporated into daily workload activities by all staff, not just those assigned to contraband control. To carry out the plan supervisory staff need to be vested and trained staff need to be available to perform these fundamental responsibilities as part of their daily routine. Once an employee becomes responsible for more than one post assignment at a time their ability to carry out all the necessary functions diminishes. Their workload expands, back-up personnel may or may not readily available, and staff often become more conservative, rather than assertive. Staffing levels at Lieber during the review period and for an extended period prior have been extremely deficient to effectively establish a contraband control plan on their own to make a significant impact on reducing the volume of contraband at the facility.

In January 2018, installation of perimeter netting that extends the height of the perimeter fence began at the Ridgeland Correctional Institution increasing the difficulty of throwing (introducing) contraband over the perimeter fence. The Lieber Correctional Institution has been identified as an additional site where perimeter netting is scheduled to be installed.

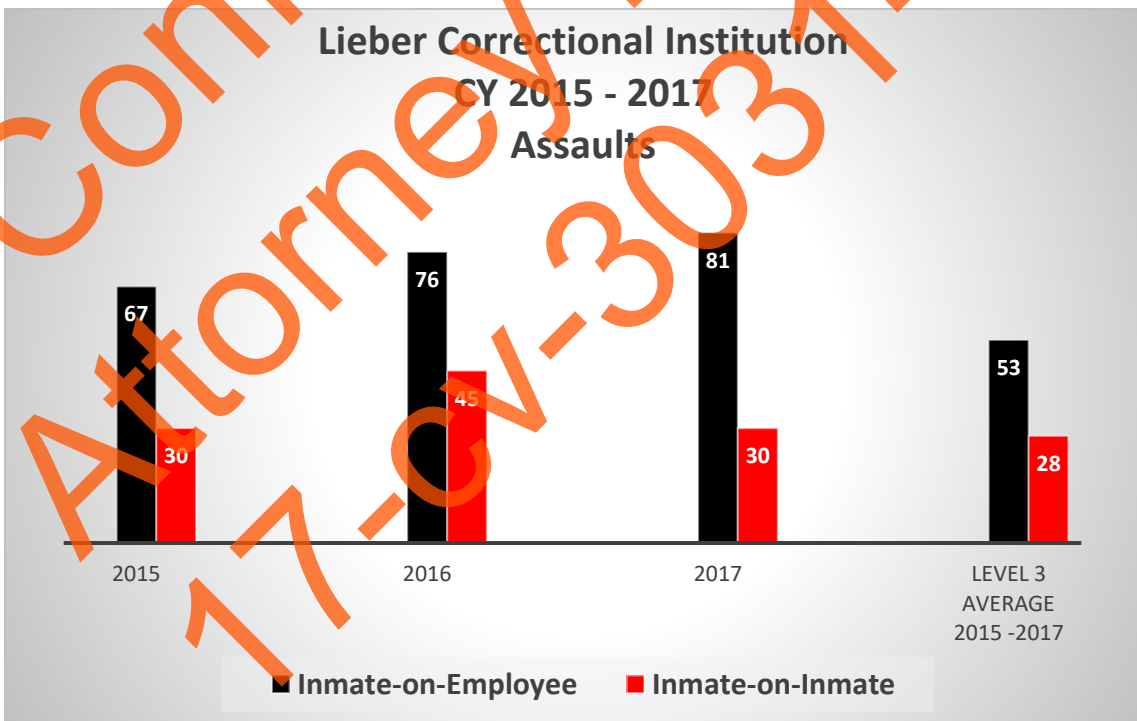
The Director of the department has been at the forefront on a national basis calling for federal support to change laws to allow cell phone jamming in correctional facilities.

The Communications Act of 1934 and the Telecommunications Act of 1996 prohibit the operation of cell-phone-jamming equipment by any person, including state and local officials.

**Assaults.** A second risk factor that is often associated with staffing levels is the number of assaults that occur at a facility. The number of staff, staff training and the experience level of staff is often referenced as one of the causes of prison violence. Although there is no internal or external study that supports insufficient staffing as the cause of violence, in most cases it should be considered a contributing factor. Having a sufficient number of well-trained knowledgeable staff assigned to appropriate locations should be the goal of every facility. The conjecture is if properly trained staff were present and available as identified in the recommended staffing plan, the chances of an incident resulting in an assault may not be as high. This may not always be the case; however, it can be considered a fair assumption.

It has been my experience, most inmates when contemplating committing an assault look for opportunities to carry out the act without being detected. Having a total of two staff assigned to a 270-bed housing unit which contains limited to no electronic surveillance support or having one staff member on the courtyard during movement periods, creates an environment where the perceived opportunity to commit an assault, if interested, can initially go undetected. This appears to be the case at Lieber. There is simply not enough staff supported by surveillance equipment to consistently cover all required areas and send the message when involved in criminal activity the risk of being apprehended and the penalty for the same will be great.

At Lieber the total number of reported inmate-on-inmate assaults during 2015 – 2017 was the highest of the level 3 facilities and the second highest for inmate-on-employee assaults. As shown in the following chart both inmate-on-employee and inmate-on-inmate assaults at Lieber exceeded the average during each year for the past three years. In 2016 and in 2017 an inmate was killed by another inmate at the facility. The fact there are so many assaults should be considered a major contributing factor to staff retention rates at the institution.



Source: SCDC RIM

## Key Positions

Administration. The administrative core positions for the facility include a superintendent (Warden) and two assistant superintendents (Associate Warden of Operations/Assistant Warden of Programs). Both the interim warden and associate warden of operations had been in their current position for less than two months on the day of the site visit. During the review period, the associate warden of operations was named the warden and was contacted via telephone for input regarding the project.

Supervisor Posts. The highest-ranking security position outside of the administrative positions is the major. On the date of the site visit the major position was vacant; however, the administrative captain was serving on an interim basis in that capacity. The major position is routinely considered the Chief of Security and reports to the associate warden of operations.

The acting major provided a tour of the facility and was available throughout the day to describe the facility operations and to clarify pertinent staffing-related questions. The acting major as well as the interim warden reported that there had been an escape in July 2017 and several administrative personnel changes had occurred.

Five additional captains were available and serve as either one of four-unit managers or as the administrative captain. Each of the (4) 12-hour shifts are supervised directly by a lead lieutenant who normally is assisted by an additional lieutenant. The shift supervisor is responsible for overseeing shift operations, deployment of security personnel and meeting facility security needs as they arise. When additional lieutenants are available they are normally assigned to the yard and/or the restricted housing unit.

All the (4) 12-hour shifts are supported by sergeants who are available to assist in staff supervision and filling post assignments. Sergeants assigned to the 12-hour shifts are primarily used in the housing units and yard.

The 12-hour day shift starts at 5:45 am and is scheduled to conclude at 6:00 pm. The evening shift starts at 5:45 pm and normally concludes at 6:00 am.

In addition to the 12-hour shifts LCI applies a “blended” scheduling model that includes staff working an 8-hour shift. Under blended staffing the supervisor post assignments that have more variable levels of work are reduced to an 8-hour post. At Lieber, this included post assignments such as: C-Card supervisor, Training, Compliance, Transport, Cafeteria, Housing, Contraband Control, Environmental Health and Safety, Front Gate, Yard, Key, Armory, Property Control and Unit Management personnel. Most staff assigned to the 8-hour shift are scheduled to work from 8:00 am to 4:00 pm Monday through Friday; however, various starting and ending times are used to best meet the needs of the facility.

In the housing units at Lieber the unit management concept has been adopted. Unit Managers consist of veteran security personnel that fill a captain’s position on the roster. These non-uniformed supervisors serve as the housing unit administrator and are responsible for managing activities and staff assigned to a specific housing area. Working with the unit manager is normally a non-uniformed sergeant who serves as the assistant unit manager of the housing unit and as a counselor to inmates assigned the unit. During the reporting period there were (4) unit managers assigned to six different housing units. In addition to the unit managers, there were sergeants who were serving as unit counselors.



Due to the limited number of front-line security staff assigned to the housing units and the workload responsibilities associated with operating each unit, personnel assigned as the unit manager and counselor often deviate from their designed roles to fill a more traditional officer and/or sergeant role to address fundamental operating issues.

The reporting period of July 2017 to December 2017 reflected on average approximately 30.4% of the filled security positions were considered supervisory positions. The approved funding level for security supervisors at LCI allowed for (69) positions of which (49) were filled. The sergeant position averaged twelve vacancies and the lieutenant position averaged seven vacancies during the reporting period. Turnover rates, the number of qualified applicants, local alternative employment opportunities and the lack of overtime compensation for the lieutenants were cited as contributing factors related to consistent vacancies in the supervisor positions.

Front-Line Security Posts. For this study, front-line security staff positions include Cadets, Correctional Officer I/II's and Corporals. Cadets are those uniformed individuals that are 18 to 20 years of age, have not received all the firearms training required for a correctional officer and are limited in where they can be assigned. Correctional Officer I/II's are the traditional front-line security member age 21 and over and may normally be assigned to any front-line staff post. Corporals are non-supervisory lead officers with a minimum of 18 months experience that may be assigned to any line staff post within the facility. Individuals in these positions normally serve as the lead employee when two or more front-line staff are working together. For the most part, based on current practice and existing staffing levels the Officer I/II's and Corporals are frequently interchangeable when considering post assignments.

Key post assignments where front-line staff are normally assigned include: Main Control, Perimeter Patrol, Front Gate, Transportation, Prison Industries, Vehicle Gate, Access Gate, Contraband Control, Cafeteria, Education, Inside Grounds, Yard Officer, Medical, Operations, Housing Unit Control Room, Housing Unit Wing, Tool Room, Recreation, Visitation, Hospital Coverage and Escort. Some of these positions are required to be filled 24-hours per day, seven days per week, while others may be required to be filled for 12-hours, 10-hours, 8-hours or less per day ranging between two and seven days per week. Shift schedules are designed to allow for the concentration of security staffing levels to be available at times when the workload and activity levels in a specific area are generally higher.

For example, the education post is normally a five day 8-hour post assignment. Security personnel are required to be assigned when inmates are present in the education building. Based on the class schedule services are provided normally five days per week during the day shift. In contrast, the Main Control post, which is responsible for operating the electronic door access control panels, distribute security equipment, provide remote visual back-up support and serve as the primary communication hub for the facility is appropriately required to be staffed 24-hours per day, seven days per week.

### **Roster Management**

Roster management and staff scheduling at LCI are considered essential elements in the daily operation of the facility. In-house roster management for security positions are performed primarily by the administrative captain in concert with the shift commanders.

A post chart has been developed by the *Division of Security* as required by policy to identify recommended staffing levels and to guide facility personnel on where and when to fill identified post assignments.



In addition, minimum staffing levels have been established for the 12-hour day and evening shifts. At Lieber the 12-hour minimum staffing level established by the *Division of Security* for the day shift is (30) and for the evening shift is (26). A review of sample daily rosters reflected the facility rarely meets the minimum established staffing standards. On the date of the on-site assessment there were fewer than (30) staff assigned to either of the 12-hour day shifts and fewer than (26) staff assigned to either of the evening shifts.

Shift Assignments. Facility management personnel at LCI have developed a master shift assignment roster for security staff that identifies the names of the personnel assigned to each shift and their position classification. The *C-Card* roster also identified the employee's normal post assignment.

At Lieber all security staff, except for those assigned to Prison Industries are normally scheduled to work either a 12-hour shift with rotating days-off or an eight-hour shift Monday through Friday. Security personnel normally assigned to Prison Industries are scheduled to work four consecutive ten-hour days with three days-off to be consistent with program operations.

A review of the November 2017 master shift assignment roster indicated security staff were primarily assigned to one of five shifts. The (4) 12-hour shifts reflected a relatively balanced division of staff between the (4) 12-hour shifts. The 8-hour shift, referred to as the *C-Card*, is the largest shift in respect to number of staff assigned and consisted of both supervisory and FLS staff. Primary responsibilities include transportation, unit management, personal property, contraband control and recreation and program and service area security. Each shift had at least two lieutenants and three sergeants.

Daily Shift Rosters. Daily shift rosters are also maintained that identify in more detail the actual staff assigned by day and shift and their corresponding post assignment. The daily shift rosters are intended to document how scheduled personnel are utilized and to provide a necessary management tool to ensure staff accountability. It was extremely difficult to identify on the manual daily rosters how every staff member assigned to the shift was being utilized.

There is no **consistent** reference in the manually completed daily rosters of staff on leave-status, responders, staff working overtime, if applicable, post classifications or a recapitulation table that identifies the status of every staff member assigned to the shift. On the automated version of the daily shift roster post assignments and staff on-leave status were identified.

The *C-Card* shift daily shift rosters are completed on a different template and lack specific details that are clearly identified including, shift supervisor, staff assigned to transportation or a recapitulation table that identifies how all staff assigned to the *C-Card* were used.

Daily shift rosters should be considered a critical document that must be completed both accurately and completely to assist facility management on identifying how staff are utilized on each shift. Based on the sample completed daily rosters it was difficult to identify how all staff assigned to the shift were utilized.

Post Coverage. By memorandum from the *Division of Security*, post assignments should be classified as either, Pull Post Level I, Level II, or Level III (mandatory) to assist shift supervisors when determining which posts can be temporarily collapsed or closed due to staff shortages, emergencies or overtime. The classification of post assignments is designed to ensure certain post are shut down first. Due in part to limited available staffing, the need for post classifications to be identified is not as critical as when staffing levels allow additional posts to be filled.

A review of completed daily rosters revealed staff were being assigned to critical areas and there was no evidence staff were being assigned to posts that could be closed while mandatory posts remained unfilled.

In reviewing sample daily shift rosters and interviewing staff at the facility it was evident all the mandatory posts identified in the *Division of Security* post chart were not consistently being filled.

The primary difference between the recommended staffing plan and routine operational practices was in the number of posts being filled when more than one post was identified in the post chart. For example, in the post chart the *outer perimeter patrol* post is identified as two posts to be filled on a 24/7 basis. Based on staff interviews and a review of completed daily shift rosters one post is normally filled instead of two. Additional discrepancies between the operational practice and recommended level III (mandatory) posts include the following:

- Main Control. One staff member is always assigned on a 24/7 basis. A second staff member is only assigned on an intermittent basis or when additional personnel are available;
- Cafeteria. The cafeteria post is normally filled during the weekdays by staff assigned to the *C-Card* supported by supervisory personnel intermittently. During the weekends two meals are normally served and staff are intermittently assigned;
- Back Gate. The Back Gate is not consistently filled on the evening shift;
- Yard Officer. The Yard officer is normally filled by a lieutenant when available. When a lieutenant is not available the post is either not filled for the entire shift or filled intermittently by available personnel;
- General Population Housing Unit Officers. The post chart recommends a total of (10) FLS posts for the five general population units. A review of completed daily rosters reflected normal operational practices included approximately six FLS staff supported during peak periods by unit management personnel; and
- Restricted Housing Wing. Operational practices reflected on the completed daily rosters and supported by staff interviews revealed fewer than (4) wing officers on the day shift and (3) on the evening shift were routinely assigned as Restricted Housing Wing officers.

At Lieber, the basic elements of a roster management system including the identification of post assignments, recommended staffing levels, shift scheduling and daily shift roster development are in place. The operating practice reflected that when supervisory personnel were present they were frequently performing both supervisory functions as well as front-line responsibilities. When supervisory staff were not present, front-line staff was often responsible for their post as well as an additional front-line post.

The primary concerns with the roster management system include the following:

- The post chart identifies mandatory posts that need to be filled and are not routinely filled. There are not enough staff assigned to each shift to meet post responsibilities. The current operating practice when insufficient staff are available for the following shift, is to contact qualified staff currently assigned or on their off-day to determine their interest in working overtime.

Based on the number of staff that are scheduled and interested the shift fills as many posts as possible. Most often this results in mandatory posts going unfilled;

- The recommended minimum staffing levels for each 12-hour shift needs to be reviewed and updated on a regular basis. Daily shift rosters reflected established minimum staffing levels were not being met on a consistent basis due to available staffing. Monthly in-house reviews should be completed to determine the effectiveness of the system and to confirm or re-establish minimum staffing levels; and
- Daily shift rosters need to be updated to reflect how all staff assigned to the shift are utilized. The daily roster should identify the names of all staff assigned to the shift, the approved post assignments, the post classification, post closures and the employee assigned to each post. Staff assigned to posts for less than a full shift, detailed to a special assignment, working overtime or using benefit time should be clearly identified on the daily roster.

### Staffing Recommendations

The most significant concerns reported by facility personnel while conducting the on-site review involved the impact staff vacancies were having on both the facility and staff. Specific issues mentioned included that staff turnover rates were resulting in a large percentage of inexperienced staff filling both front-line and supervisory posts; there was an increasing reliance on staff working overtime to meet existing responsibilities and the resiliency of staff to enforce policy appeared to be less consistent.

The human resource component of operating a prison is one of the most critical elements in maintaining an efficient and cost-effective operation. Having a strategic staffing plan that takes into consideration the mission of the facility, legal standards and physical plant design is essential. At LCI, the effectiveness of the staffing plan has been hindered primarily by staffing levels that cannot effectively meet existing workload responsibilities. As a result, administrative personnel have reduced workload levels (removed death row, closed one housing unit wing, reduced inmate out-of-cell time), filled front-line post assignments through the augmentation of supervisory personnel and expanded existing staff responsibilities.

### Post Assignment Enhancements

In reviewing current operational practices, supported by daily rosters and staff interviews, to meet the mission of the facility additional post assignments are recommended to be filled by qualified staff on a consistent basis. An updated post chart has been developed to identify post assignments that should be filled on a consistent basis.

The following post assignments identify critical posts that normally are not routinely being filled and when considering the mission of this facility, should be considered.

**Housing Units Wing Officers.** The general population housing units, when fully operational, each have an operating capacity of close to 250. Approximately 91% of the inmates housed at Lieber are considered level III maximum security inmates. These are generally individuals with a history of violence with long sentences and/or inmates who have exhibited behavioral problems while in the system.

The inmates are housed in one of two wings located within each unit. Each wing is separated by a common sally port that contains a secure entry/exit to the building, officer work space and entry into each wing. Visibility from the sally port area into each wing is limited.

The current operating practice is to provide at least one officer into each general population housing unit, except for the housing unit referred to as "Wando", which has a secure control room and four housing wings, where a minimum of two officers are assigned. Actual staffing levels vary by shift, day and the availability of supervisory and unit management personnel.

Based on the everyday responsibilities of the officer and the activity levels of each unit, the practice of having not only one, but two officers assigned to provide security, custody and control of 250 maximum custody inmates is inconsistent with realistic expectations of what an officer can accomplish. At this level, the front-line officer becomes a "watchman" that no longer functions as a trained correctional officer, but primarily reacts and notifies when situations occur. As a result, effective supervision in the housing units is not consistently being provided. Additional posts are being recommended in the updated post charts;

**Medical/Psych Clinic Supervision.** Current operating practice is to have one officer assigned to the medical unit. Primary post responsibilities include monitoring and controlling movement into/out of the unit, placing inmates in a secure waiting area, escorting inmates within the unit and completing security rounds. Based on the location of the front entrance to the building and the holding area, most of the officers' time is required in the front of the unit, near the inmate holding area and front entrance, as they are in possession of the keys to the unit. Exam rooms and staff interviews, including mental health interviews/clinic, occur in areas not always in direct line of site of the officer.

For example, the psychiatric clinic generally occurs two to three days per week, every other week for approximately six hours per day. Security personnel are required to be in direct line of site, outside of the interview room, while the interview takes place to provide site supervision. Additional interviews and consultations occur five days a week throughout the medical unit. This requires an additional officer to be on-site and an officer to provide inmate escort to/from the housing unit. No dedicated staff are normally provided, resulting in delays in escorting the inmate, and delays in conducting the clinic/interviews. Dedicated security staff are recommended in the updated post chart to meet this responsibility;

**Medical Unit Coverage:** Inmate services at the medical unit were reported to occur from approximately 5:00 am until approximately 8:00 pm. Security medical unit coverage is generally provided normally during the day shift only. The revised post chart reflects post recommendations that include providing a security presence whenever inmates are normally scheduled to be in the medical unit;

**Yard.** Lieber is a campus-style institution with five general population housing units, programs and service areas surrounding a large open courtyard. To move from the housing unit to most program activities and services, inmates are required to walk through the open courtyard. It is essential and a fundamentally recognized sound policy, that security staff be present to monitor and control the inmate movement throughout the facility, and to be able to respond when necessary. Internal fencing and gates are present throughout the courtyard to assist in controlling movement.

Based on the size of the facility and location of the cafeteria, education, medical, canteen, multi-purpose building and prison industries in relation to the housing units, dedicated yard officers should be consistently assigned to the courtyard to assist in monitoring existing inmate movement, provide roving physical plant security and serve as responders.

Specific areas of concern include the Wando Gate, Access Gate and Pill line window where inmates congregate while waiting for access. Dedicated security staff are recommended in the revised post chart to increase the number of yard post assignments during both the day and night shift;

**Kitchen/Dock.** LCI routinely requires supervisory personnel to assist in providing security supervision during meal periods. The cafeteria is divided into three primary sections, the dining area, serving line and kitchen. The kitchen contains the food preparation area, storage, office space and access to the loading dock. This area includes multiple blind spots, culinary tools, a high number of assigned inmates and access to outside the building including the dock areas for the cafeteria, canteen and commissary. On the date of the site visit the rear door leading to the dock was unsecure, allowing for unsupervised access to the loading dock. Food service personnel are present in the area; however, their primary focus appeared to be on food preparation. No security personnel are normally assigned to the kitchen/dock area which should be considered a high-risk area. The revised post chart recommends a post assignment for the kitchen/dock area;

**Education.** Primary educational programming is provided normally Monday through Friday during the day shift. In the education building are classrooms, civilian staff, maximum security inmates, a general library and law library. Dedicated security personnel should be assigned whenever inmates are scheduled to be in the building;

**Operations.** LCI is designated as a regional holding and processing facility for inmates being transferred to the Kirkland Reception and Evaluation Center. As a result, individuals admitted to the department from neighboring counties within the area are brought to Lieber. Monday through Friday during the day shift to be transferred on a bus to Kirkland. Current operating practice is to use transportation and unit management personnel that may be available to assist in initial processing, documentation management and on-site supervision. This is a five-day post assignment that requires dedicated personnel;

**Post Relief Personnel.** In view of available staffing levels at Lieber, staff assigned to the 12-hour shift normally do not receive a rest or meal break during their shift. There is normally no staff available to provide such relief. State and federal regulations do not mandate employers to provide breaks; however, SCDDC policy does. Under the current circumstances and based on existing staffing practices, where most front-line staff are not only filling one post assignment they are routinely filling two, the value of short breaks should be considered. Establishing "Security/Relief" posts that include providing at a minimum a 30-minute break per shift can result in more productive personnel and an improved work environment;

**New Perimeter Towers.** Three new elevated staff towers have been built along the perimeter of the facility. Staffing towers is more than just about preventing escapes; it is also about controlling movement near the perimeter and preventing the introduction of contraband into the facility through the perimeter fence. The recommended post chart includes a provision for staffing the three new perimeter towers; and

**Shift Relief Personnel.** The relief factor established for Lieber reflects over the past three years assigned staff are available to fill a post approximately 79.4% of their scheduled time. The rest of the time staff are using benefit time or are unavailable to fill a post assignment. Shift relief personnel are rarely readily available to fill required post assignments during the absences of assigned staff. The recommended post chart includes the provision of applying a shift relief factor for most post assignments.



### Shift Relief Factor (SRF)

An updated shift relief factor has been developed for Lieber, based on data provided by personnel assigned to the Research and Information Management Division (RIM). The shift relief factor (SRF) represents the number of staff required to fill a post assignment throughout the year based on the number of hours the post needs to be filled divided by the number of hours the average employee assigned to the post is available.

Staff attendance, off-post hours and leave-time results are inputted into a department recognized electronic data base and transferred into an automated system that can identify the shift relief factor. The SRF electronic workbooks have been set up to allow the user to specify the institution and hours per shift which will automatically recalculate the SRF accordingly.

The SRF calculation for this project is based on the following:

- All security staff (cadets – major) who were assigned to the institution during the entire year;
- A blended work schedule, including the use of both an eight-hour administrative shift (160 hours) and the straight 12's (168 hours) schedule;
- An average of the three most recent completed years that was available at the time the report was being prepared. This included 2015, 2016 and 2017. The purpose of evaluating data from the past three years instead of one year minimizes the chances the SRF will be influenced by one or more unusual factors or outliers.

At Lieber the use of "sick-time" has fluctuated over the past three years. The average full-term security employee used (87) hours of sick-time in 2017, compared to (102) hours in 2016 and (72) hours in 2015;

- The SRF is reflective of the facility being fully staffed; and
- Most posts recommended are considered relief posts. Refer to Appendix A for the detailed formula used to determine shift relief factors and the post chart appendix to identify specific post assignments being recommended.

Lieber Updated Shift Relief Factors			
Average 2015, 2016, 2017	8 Hour Shift 5-days	8 Hour Shift 24/7-Days (160 hrs.)	Straight 12-Hour Shift 24/7 days (168 hrs.)
Institution			
Lieber CI	1.3	5.47	5.04

A shift relief factor of 5.04 can be translated to mean that for one year, an average of approximately five staff will be required to fill one 24-hour post assignment when applying the straight 12-hour shift schedule (168 hours). A five-day shift relief factor for an 8-hour post assignment requires an average of 1.30 staff throughout the year.



### Staffing Level Recommendations

A recommended post chart has been developed to identify the number of security staff recommended to meet the current mission of the Lieber Correctional Institution when fully operational. As the mission changes the staff requirement may also change.

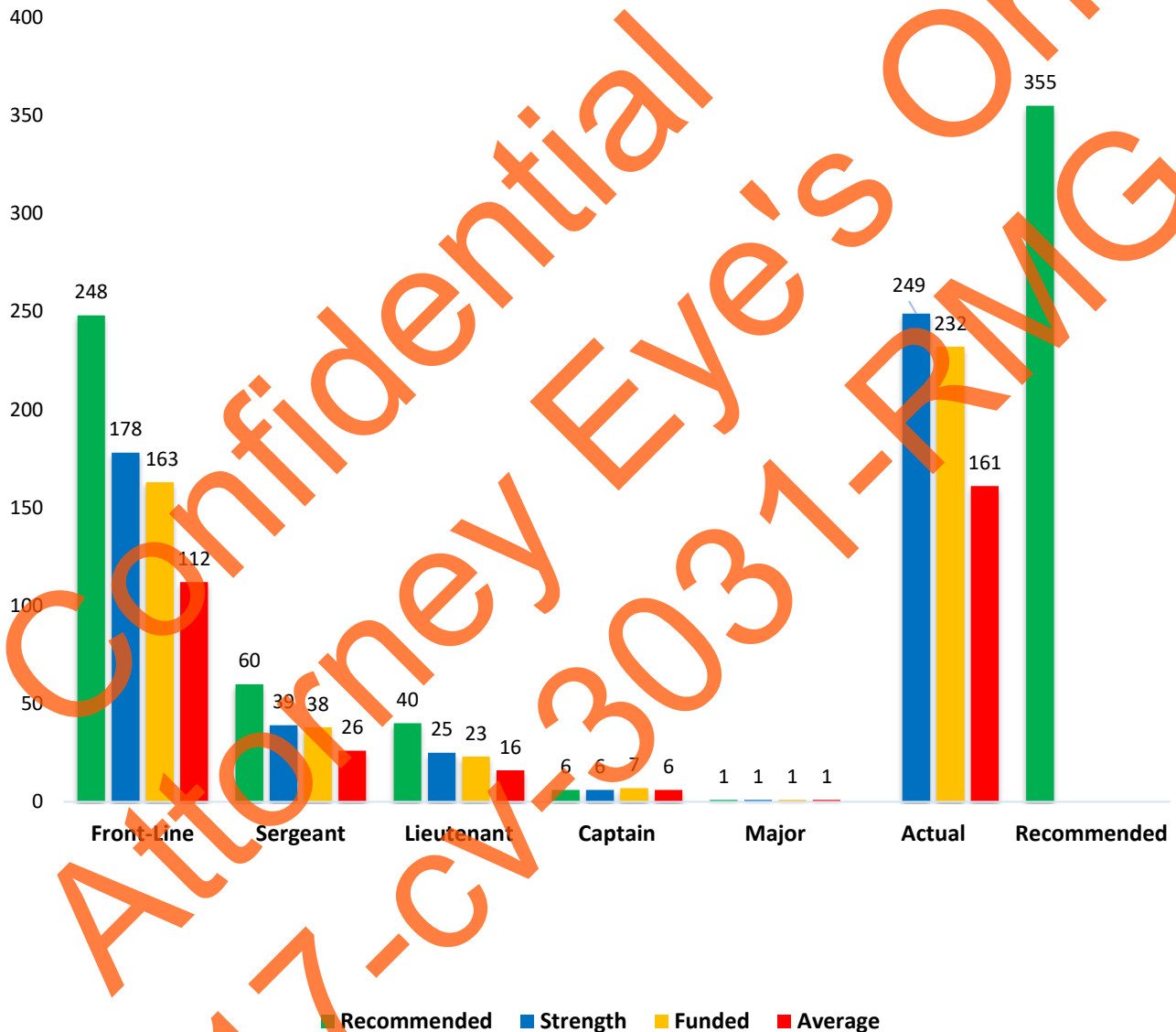
The staffing recommendation is based on applying the following:

- A blended work schedule consisting of a 12-hour work schedule (168 hours) and an 8-hour (160 hours) administrative schedule;
- A 28-day pay cycle applying Section 7(k) of the Fair Labor Standards Act (FLSA) to determine the overtime threshold;
- A shift relief factor based on the most recent available three-year average leave-time and reported authorized time unavailable to fill a post, i.e. staff training, breaks;
- The facility being fully operational including staffing all existing housing, program and service areas;
- The facility continuing to operate under the established policies and mission at the time of the review; and
- Taking into consideration security staffing related requirements as stipulated by court orders, state and federal laws.

<b>Lieber Correctional Institution – Security Staffing Recommendation</b>	
<i>Position Classification</i>	<i>FTE</i>
Major	1
Captains	6
Lieutenants	40
Sergeants	60
Front-Line Staff	248
<b>Total</b>	<b>355</b>

**The recommended security staffing level for the Lieber Correctional Institution is 355.** The facility had been operating at 45.4% of the recommended level during the above reporting period. A detailed listing of recommended post assignments can be found in the appendix.

**Lieber Correctional Institution  
July 2017 - December 2017  
Average Staff by Position Classification  
Recommended Levels**



## **McCormick Correctional Institution**

The McCormick Correctional Institution (MCI) is a state operated level 3 facility located approximately 75 miles southwest of Columbia in the town of McCormick, South Carolina. The facility was opened in 1987 and serves as one of South Carolina's adult male maximum-security correctional facilities. The reported capacity at McCormick is 1,108 and the average daily population during the last six months of 2017 was 990. One of the four 252-bed housing units was closed in November 2017 reducing the facility operational capacity to 856.

While most of McCormick's inmate population is considered maximum custody approximately 10% of the inmate population was classified as level 2 (medium) or lower during the reporting period. At the time of the review approximately 17% of the inmate population was on a mental health caseload.

In addition to providing housing and services for the general population, MCI also provides housing and services for special programs including the Restricted Housing Unit and an Assisted Living Unit. The Restricted Housing Unit is available to house inmates requiring more intense behavioral levels of supervision. These inmates are housed and programmed separately from inmates assigned to the general population. The Assisted Living Unit is a residential housing unit for inmates with confining medical conditions.

The physical plant at McCormick was built as a maximum-security facility and is surrounded by a double fence reinforced with multiple rolls of razor ribbon, electronic surveillance equipment, armed perimeter patrol, high-mask lighting, vehicle access gate, sensors and an alarm detection system.



Inside the perimeter of the facility are a variety of buildings and open space provided to help meet existing facility responsibilities. The physical plant includes the following: Front Gate/Vehicle Access Gates; Administration Building; Main Control; Personal Property; Visitation; Medical Unit; Education; Multi-purpose; Grounds Maintenance; Plant Maintenance; Cafeteria; Prison Industries; Chapel; Restricted Housing Unit; Assisted Living Unit and General Population Housing. Expansive internal movement control fencing, gates and security surveillance cameras are available throughout the interior of the facility.

Food Services are normally provided to the general population inmates in the main cafeteria. Meals may be provided in the housing units when the facility is on a full or partial lockdown.

All inmate movement was considered controlled movement and the type of movement varied based on the inmates' classification, the purpose for the movement, destination and time of day. A combination of line movement (food services), escorted, supervised and the use of passes (OTR's) was all being used.

### Housing Unit Designs

There are three primary housing unit designs at the McCormick Correctional Institution. All the housing units contain secure cells as dormitory style housing is not available at this facility. All cells are equipped with a bed, toilet and wash basin. The housing unit designs are consistent with nationally recognized practices for a level 3 facility. In total there are six housing units at MCI.

- General Population Units.** Four of the general population housing units are similar in design. The capacity of each of the housing units is 252. Staff working space is located both inside and outside the living area. Each housing unit contains double occupancy cells located on one or two tiers on each wing. All the cells have a toilet and wash basin and showers are in the common area within the wing. In the front center of the building is a secure sally port which contains staff working space. This area is located directly adjacent to the living areas and to the entrance of the unit. Secure outdoor recreation is also available immediately adjacent to the back of each housing unit. One of the housing units, F2, was closed during November 2017;
- Restricted Housing Unit.** The Restricted Housing Unit (RHU) has an operating capacity of (101) and consists of two separate housing areas, referred to as A-Wing and B-Wing. Each wing contains two tiers, surveillance cameras, a small dayroom area, secure cells, recreational space and showers. Some cells have a single entrance door and others have a double door entrance. The cells with a double door have a secure vestibule located between each door. The two wings are separated by a secure control room available to provide added security, visibility into the wings, remote access control and security support. This unit is designed as a high-security controlled unit. On the date of the site visit one wing was vacant and the remaining wing was being used to house (47) inmates. The RHU contains (2) safety cells; and
- Assisted Living Unit.** The Assisted Living Unit is located adjacent to the health care unit. The operating capacity of the unit is (20). There are ten double-occupancy cells located on one single story common hallway. An outdoor passive recreation space is located immediately adjacent to the outside of the unit.

## Program Services

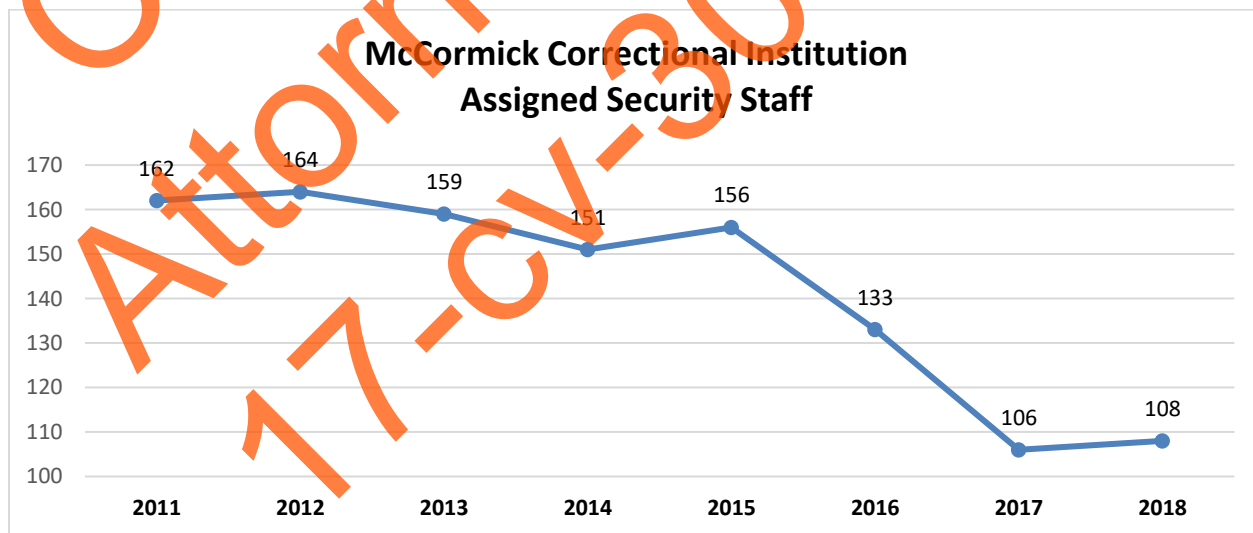
In addition to providing a secure environment, varying degrees of program services and opportunities are available to the inmate population depending upon their individual classification and status. These program services have been integrated into the daily facility schedule to include the following: ABE/GED, Vocational Education Programs, Religious Services, Character Program, Volunteer Services, Alcohol and Drug Education, Law Library, General Library, Recreation, Horticulture, Second Chance Program, Visitation, Canteen and the Prison Industry Program.

## Security Staffing Profile

On the date of the site visit (October 31, 2017), there were (100) full-time security staff positions filled. The approved *funding level* was (174) and the department recognized *authorized strength* was (192). The approved *funding level* is the number of personnel in each position classification approved by the department to be filled. The *authorized strength* is the current recognized number of security positions identified to operate the facility safely. The *authorized strength* number is determined by the SCDC *Division of Security* based in part on feedback from facility management personnel.

Security staffing levels have been a critical concern at McCormick for an extended period. In January 2011 the reported total security staffing level was (162). This was close to the high point for the seven-year period from January 2011 to January 2018 and reflected approximately 85% of the authorized strength positions were filled.

On the date of the on-site assessment the reported security staffing level was (100), a 38% decrease from January 2011. In reviewing staffing trends, a continuous decline in staffing levels began in 2015 and continued through 2017. **Facility management personnel reported that as recent as October and November of 2017 fewer than ten staff reported for duty to their assigned shift.** This required SCDC staff from other areas to temporarily be assigned to MCI. On the date of the site visit security personnel representing several facilities and the *Division of Security* were assisting in filling mandatory post assignments at MCI. The figures below identify the total number of filled security positions at MCI reported on January 1 of each year.





The primary difference in the security staffing levels between each year is in the average number of front-line positions that were filled. A continuous decrease in front-line security (FLS) staffing levels began in mid-2015 and had continued to decline through 2017. FLS staff at MCI in 2015 averaged 98.5 and in 2017 the average was 62.1.

At MCI there were ten security staff on FMLA/Extended Leave status that were unavailable to fill a post assignment on the date of the site visit. The facility averaged 4.2 security staff on extended leave status each month during July through December 1, 2017.

### Recent Staffing Trends

The following chart depicts the average staffing levels for the period from July 1, 2017 to December 1, 2017. The facility was operating at a level where on average there were approximately 64 funded positions that were not being filled. These were funded positions that had been approved by the department; however, remained vacant. In respect to the recommended *authorized strength* level the facility was operating with an average of 82 positions unfilled during the reporting period.

The chart below identifies the average staffing level by position classification during the period of July 1 through December 1, 2017. In the table below the front-line positions includes cadets, officer I/II's and corporals.



Source: SCDC Research and Information Management

In the chart, the largest number of vacancies (89%) was found in the front-line positions. These are the positions that normally have the most frequent direct contact with inmates and routinely include posts such as housing units, transportation, hospital coverage, inmate escorts and direct security within a specific area.

In total when considering security staffing levels, the facility has operated at approximately 63.2 percent of the approved funding level during the reported period.



As previously noted MCI had several occasions in 2017 where fewer than ten staff reported to work for a shift. Facility personnel cited the lack of annual and/or merit increases, alternative employment options, an unsafe reputation and overall work conditions as reasons potential candidates are not genuinely interested in working at MCI.

### Operational Initiatives in Response to Staffing Levels

Facility management personnel have deviated from the original staffing plan and implemented several security initiatives to maintain minimum operations at the facility.

These initiatives routinely include the following:

- **Required security posts are often filled by staff from other SCDC areas.** McCormick management personnel rely on staff from other SCDC facilities and the *Division of Security* to assist in filling required post assignments. During the on-site visit staff representing several facilities had been detailed to MCI to assist in maintaining minimum operations;
- **Staff initially not scheduled to work fill vacant post assignments at an overtime rate.** The first eleven months of 2016 the average monthly overtime expenditure for security staff was \$33,415 (rounded). In 2017 overtime was \$50,985 (rounded)<sup>28</sup>. **This represents an average increase of approximately 53% in monthly overtime expenditures during the two reported periods.** A consistent increase in overtime expenditures started to occur in May 2016 and continued throughout calendar year 2016 and into calendar year 2017. Most of the overtime is the result of staff not initially scheduled to work filling vacant required post assignments, providing inmate transports, fewer staff being available, attending required training and filling a post due to late reliefs. An average of (6.7) fewer front-line positions were filled during calendar year 2017 when compared with calendar year 2016;
- **Staff responsibilities are expanded beyond the established post order.** Each post assignment includes a written post order that describes the normal responsibilities associated with the post (OP-22.24)<sup>29</sup>. Under normal circumstances security staff are responsible for one post at a time. Staff assigned to existing posts are routinely required to be responsible for meeting both their assigned responsibilities and responsibilities of an additional post;
- **Staff are augmented to leverage existing personnel resources.** Since 89% of the vacancies were in the front-line staff positions, personnel outside those position classifications frequently are required to fill front-line staff post assignments. Based on a review of daily shift assignment rosters sergeants, lieutenants, captains, counselors and unit managers are routinely used to meet front-line post assignments, limiting the amount of time available to supervise or perform their normal responsibilities;

<sup>28</sup> SCDC RIM

<sup>29</sup> SCDC Policy OP.22.24 Post Orders.

- **Shift Supervisory personnel routinely work 14-15 hr. days.** To meet existing responsibilities, shift supervisory personnel routinely arrive prior to the start of their assigned shift, review staff availability, facility schedules, overall shift workload, manage the shift and remain after their shift is normally over to ensure effective communication and staff coverage;
- **The facility is placed on full or partial lockdown to limit movement outside the cell and reduce staff workload.** The first eleven months of calendar year 2017 the facility reported they were on full or partial lockdown a total of 81<sup>30</sup> days due to staff shortages. This resulted in limited access for the inmate population to programs and services during those days;
- **Out of cell recreation is not consistently being offered in RHU.** Based on staff interviews and a review of available documentation inmates assigned to the Restricted Housing Unit do not consistently receive access to recreation outside their cell at a frequency consistent with policy;
- **Close a Housing Unit.** One 252-bed housing unit was closed in November 2017;
- **Personnel are often compensated at an overtime rate to complete required staff training.** Uniformed security personnel are routinely scheduled to complete required training on their off-days resulting in additional overtime expenditures;
- **Staff assigned to the 12-hour shifts are routinely scheduled to work a minimum of 168 hours in a recognized 28-day pay cycle.** Staff working the additional 8 hours are compensated at straight-time for working the 8 hours. Initial Department practice was to provide staff assigned to the 12-hour shifts, 8 hours off per pay cycle; however, this practice was no longer occurring. Staff assigned to the 8-hour shifts are routinely scheduled to work 160 hours in the same recognized pay cycle;
- **Post Assignments go unfilled.** A review of daily shift assignment rosters from July 2017 through October 2017, reflect all recognized post assignments in the housing units, interior gates, Restricted Housing Unit Wing Officers, transportation, cafeteria and yard are not routinely being filled;
- **Filling Mandatory 24-hr. post assignments intermittently.** The Division of Security has developed a post chart as a guideline to identify post assignments required to be filled and when they are to be filled. Existing operational practices frequently result in all posts not being filled and staff assigned to non-stationary posts, intermittently filling posts such as, the yard, medical and housing units; and
- **Staff assigned to 8 or 12-hour shifts do not consistently receive meal breaks.** Most staff assigned to the shifts do not receive a recognized break from their post assignment. Federal (Fair Labor Standards Act) and state labor laws do not require the employer to provide a meal period or break to employees; however, SCDC policy does.

<sup>30</sup> SCDC Operations. Lockdown Statistics.

*SCDC Policy ADM-11.21 Regular Working Hours and Overtime cites in section 1.1: The official work schedule for security positions will be either 1.1.1 eight (8) hour shifts or 1.1.2 twelve (12) hour shifts on a 28-day cycle, including at least one 30-minute meal period each shift.*

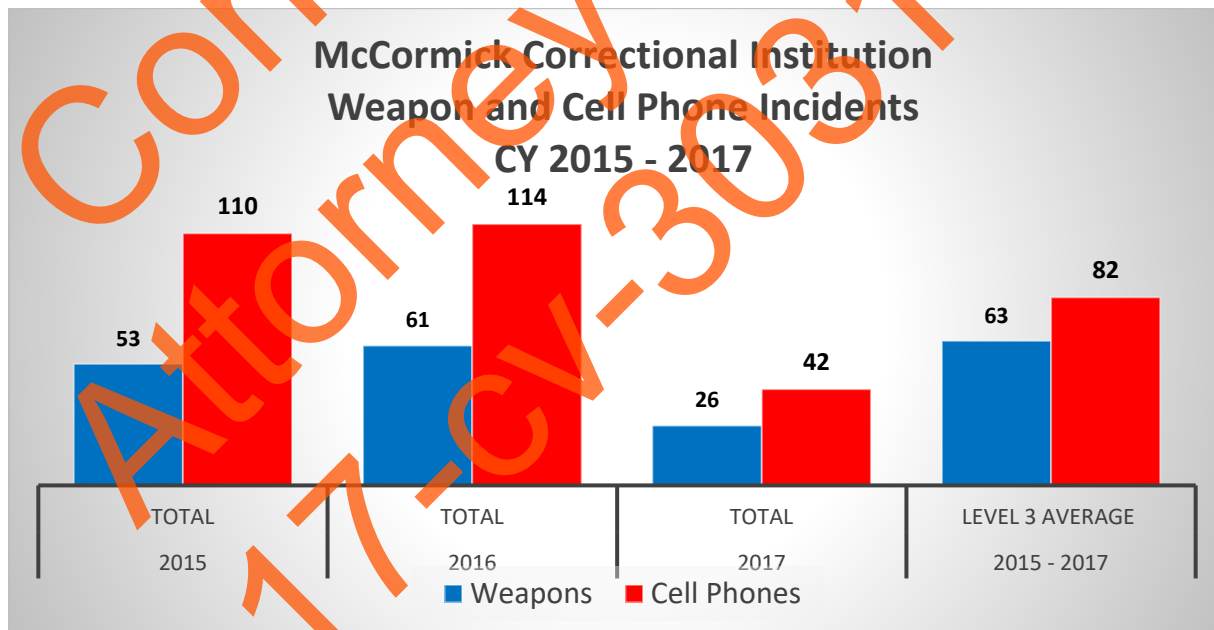
### Demonstrated Risk Factors

**Contraband Incidents.** The introduction and presence of contraband in a correctional facility has always been an issue and a primary management concern when operating a facility. It often leads to unauthorized movement, destruction of property, compromised staff, public trespassing, criminal activity and violence. At McCormick it is no different.

Based on data received from the SCDC Research and Information Management Division there has been more cell phone related incidents than any other type of contraband at the facility during the past three years. Weapon related incidents were cited as second. In 2016 an inmate was reportedly stabbed to death at the facility.

The Director of the department has been at the forefront on a national basis calling for federal support to repeal federal laws to allow cell phone jamming in correctional facilities. The Communications Act of 1934 and the Telecommunications Act of 1996 prohibit the operation of cell-phone-jamming equipment by any person, including state and local officials. In addition, the Act prohibits the manufacture, importation, marketing, sale or operation of devices deliberately designed to jam or disrupt wireless communications.

At McCormick cell phone related incidents dropped significantly in 2017 as did weapon related incidents. The population level was down in 2017, the staffing level decreased, and the number of lockdown days increased. On the date of the on-site assessment there was one security staff member dedicated to contraband control.



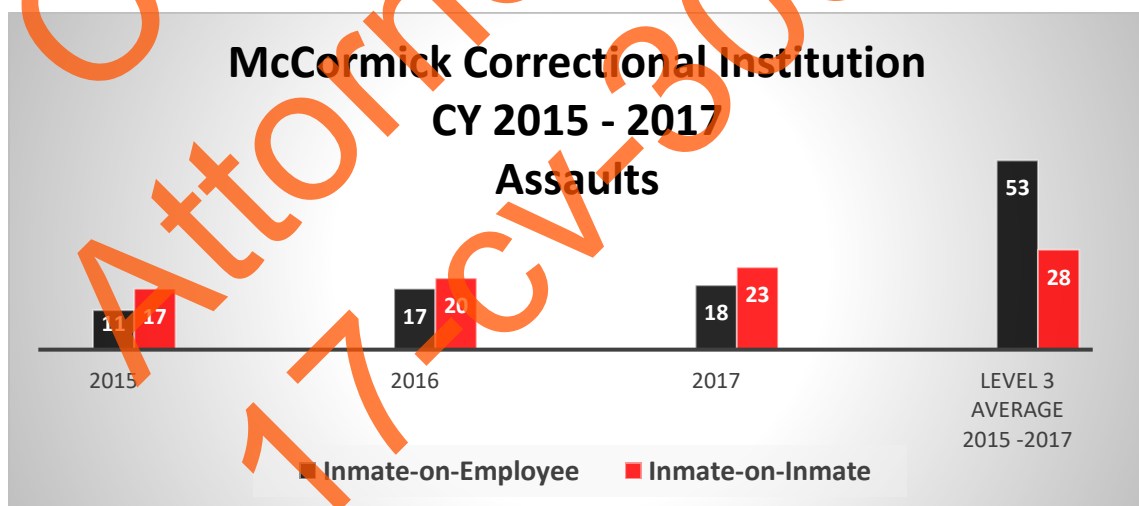
Source: SCDC Research and Information Management.

One of the keys to an effective contraband prevention and detection plan is to recognize there is often an extreme amount of pressure placed on staff, especially inexperienced staff to be involved in contraband trafficking. It is often initially presented as a harmless venture that can often lead to intimidation, violence and a risk to the public, staff and inmates.

The established plan needs to consider available resources and be developed as a facility-wide goal. Part of the plan should ensure fundamental practices including searches, patrol, detection and intelligence gathering are consistently incorporated into daily workload activities by all staff, not just those assigned to contraband control. Once an employee becomes responsible for more than one post assignment at a time, their ability to carry out all the necessary functions diminishes. It becomes extremely difficult based on the overall workload to conduct a thorough search of an individual, cell or area when the officer is the only security staff member on a wing or to the yard. It takes time, skill and concentration to conduct a proper search. At MCI security staff are routinely responsible for more than one post assignment. The department has recognized the impact contraband has on institutional operations.

**Assaults.** A second risk factor that is often associated with staffing levels is the number of assaults that occur at a facility. The number of staff, staff training and the experience level of staff is often referenced as one of the causes of prison violence. Although there is no internal or external study that supports insufficient staffing as the cause of violence, in most cases it should be considered a contributing factor. Having a sufficient number of well-trained knowledgeable staff assigned to appropriate locations should be the goal of every facility. The assumption, that if properly trained staff were present and available as identified in the recommended staffing plan, the chances an incident resulting in an assault occurs may not be as high. This may not always be the case; however, it should be considered a fair assumption. At McCormick the number of assault-related incidents reported for both inmates and employees were lower than the three-year average reported for all the level 3 facilities. In respect to employee-related assaults, the facility reported significantly fewer assaults. In respect to inmates being assaulted the facility reported slightly fewer than the three-year average. McCormick has although, had some recent serious incidents including an attempted escape and fatal stabbing of an inmate.

The following chart reflects overall assaults occur at a higher than acceptable level at MCI; however not as high as the overall three-year average for level 3 facilities.



## Key Positions

Administration. The approved administrative core positions for the facility include a superintendent (Warden) and two assistant superintendents (Associate Warden of Operations/Assistant Warden of Programs). The Associate Warden of Operations was on extended leave status on the date of the on-site review. The Warden was initially debriefed and interviewed at the start of the on-site assessment and was available throughout the day to discuss facility operations and to clarify pertinent staffing-related questions. Since the date of the on-site assessment the warden had been transferred and follow-up communication was made via telephone with the Associate Warden of Programs.

Supervisor Posts. The highest-ranking security position outside of the administrative core positions is the major. On the date of the site visit the major position was filled. The major is the top uniformed security post at the facility. This position is routinely considered the Chief of Security and reports to the Associate Warden of Operations. Four captains were assigned to the facility during the reporting period and serve as housing unit managers of which two of those captains were on extended leave status (FMLA). In addition to the (2) extended leave unit managers one captain position was vacant. This position normally serves as the administrative captain.

Each of the (4) 12-hour shifts are supervised directly by a lead lieutenant who normally is assisted by at least one other Lieutenant assigned to the shift. The shift supervisor is responsible for overseeing shift operations, deployment of security personnel and meeting facility security needs as they arise. When available, a lieutenant may serve as the assistant shift commander, restricted housing unit supervisor and or yard supervisor.

In addition to the lieutenant position all the (4) 12-hour shifts have sergeants available to assist in providing supervision. 12-hour shift sergeants are normally assigned to the restricted housing unit, shift support, operations and/or housing units.

The 12-hour day shift starts at 7:45 am and is scheduled to conclude at 8:00 pm. The evening shift starts at 7:45 pm and normally concludes at 8:00 am. Each shift includes an employee paid fifteen-minute shift briefing prior to proceeding to their assignment.

MCI also applies a “blended” scheduling model that includes staff working an 8-hour shift, which is commonly referred to as the C-Card. Under blended staffing the supervisor post assignments that have more variable levels of work are assigned to an 8-hour post. Most supervisory staff assigned to the 8-hour shift are scheduled to work from 8:00 am to 4:00 pm Monday through Friday; however, various starting and ending times are used to best meet the needs of the facility.

At McCormick the 8-hour shift supervisory posts normally include the following: Training, Environmental Health and Safety, Contraband, Transportation, Administrative Support, Armory/Key Control, Restricted Housing Unit and Vocational Education. The 8-hour shift commander was the major assisting until the vacant administrative captain position was filled.

In the housing units at MCI a scaled down version of the unit management concept has been adopted. Unit Managers consist of veteran security personnel that fill a captain’s position on the roster. These non-uniformed supervisors serve as the housing unit administrator and are responsible for managing activities and staff assigned to a housing unit.



Working with the unit manager may include a non-uniformed sergeant who serves as the assistant unit manager of a housing unit and as a counselor to inmates assigned to the unit. During the reporting period there were (4) unit managers assigned to the four general population housing units. Two of those unit managers were on approved extended leave status (FMLA). As a result, post responsibilities for the available unit managers expanded beyond one housing unit. In addition to the unit managers there were two sergeants who were serving as unit counselors for the four housing units. Overall, the unit management concept was not operating as originally designed.

Due to the limited number of front-line security staff available to be assigned to the housing units and the workload responsibility associated with operating a housing unit staff assigned as the unit manager and counselor often deviate from their designed roles to fill a more traditional officer and/or sergeant role to address fundamental operating issues.

In addition to the unit managers and unit counselors there were two non-uniformed security supervisors assigned to the facility. These two individuals on the roster identified as lieutenants serve primarily as Vocational Instructors. If needed, the two Vocational Instructors are available to assist as security supervisors. Facility management staff reported the two instructors had previously been serving as lieutenants and when vacancies in the vocational programs were presented the two qualified lieutenants were assigned to the vocational programs to keep programs operational.

In reviewing the reporting period of July 2017 to December 2017 an average of approximately 43.6% of the filled security positions were considered supervisory positions. The approved funding level for security supervisors at MCI allowed for (55) positions of which (48) were filled. The sergeant position averaged five vacancies and the lieutenant position averaged one vacancy. Turnover rates, working conditions and the limited number of qualified candidates were cited as contributing factors to consistent vacancies.

Front-Line Security Posts. For this study, front-line security staff positions include cadets, correctional officer I/II's and corporals. Cadets are those uniformed individuals that are 18 to 20 years of age, have not received all the firearms training required of an officer and are limited in where they can be assigned. On the date of the site visit there were eight cadets. Correctional Officer I/II's are the traditional front-line security staff member age 21 and over and once certified may normally be assigned to most any front-line post assignment. Corporals are non-supervisory lead officers normally with a minimum of 18 months experience that may be assigned to any front-line staff post within the facility. Individuals in these positions normally serve as the lead employee when two or more front-line staff are working together. For the most part based on current practices the officer I/II's and corporals are frequently interchangeable when considering post assignments.

A review of front-line security staffing levels reflected that approximately 38% of the security staff had been at the facility for less than one year. All but one of the certified staff were assigned to the 12-hour shifts. As a result, a significant number of the post assignments filled by front-line personnel were being filled by staff with limited experience at the facility.

Key post assignments where front-line staff are normally assigned include: Front Gate, Main Control, Perimeter Patrol, Transportation, Medical, Disciplinary Hearing Officer, Tool Control, Education, Personal Property, Yard Officer, Operations, Housing Units, Restricted Housing Unit and the Assisted Living Unit.



Some of these post assignments are required to be filled 24-hours per day, seven days per week, while others may be required to be filled for 12-hours, 10-hours, 8-hours or less per day ranging between two and seven days per week. Shift schedules are designed to allow for the concentration of security staffing levels to be available at times when the workload and activity levels in a specific area are generally higher.

As previously noted staffing levels have been a concern at McCormick for an extended period. Front-line security positions have continued to decline over the past seven years. The following sample years are presented to identify average front-line staffing levels during the most recent three completed years.

- 2015. Averaged 98.5;
- 2016. Averaged 71.2; and
- 2017. Averaged 61.5.

### Roster Management

Roster management and staff scheduling at MCI are considered essential elements in the daily operation of the facility. In-house roster management for security positions are performed primarily by the major in the absence of the administrative captain in concert with the shift commanders.

A post chart has been developed by the *Division of Security* as required by policy to identify recommended staffing levels and to guide facility personnel on where and when to fill identified post assignments. In addition, minimum staffing levels have been established for the 12-hour day and evening shifts. At McCormick the 12-hour minimum staffing level established by the *Division of Security* for the day shift is (25) and for the evening shift is (20). A review of the sample daily rosters provided, the facility rarely meets the minimum established staffing standards. On the date of the on-site assessment there were fewer than (19) staff assigned to any of the 12-hour shifts. Recent completed daily rosters reflected, staff from other facilities and/or the Division of Security were being assigned to fill facility post assignments.

Shift Assignment. MCI provided a detailed master shift assignment roster that identified security staff by shift assignment, the corresponding employee number, gender, race, leave status and date of hire. The C-Card shift roster also identified the specific operating shift hours and the normal post assignment next to the employee name.

At MCI all security staff are normally scheduled to work either a 12-hour shift with rotating days-off or an eight-hour shift Monday through Friday.

A review of the October 2017 facility master shift assignment roster reflected staff were primarily assigned to one of five shifts. The (4) 12-hour shifts reflected a relatively balanced division of supervisory staff between the (4) 12-hour shifts. Each shift had at least two lieutenants and three sergeants assigned.

On the D-1 shift which is a day shift, two of the three sergeants were on approved extended leave. On the E-2 shift which is an evening shift, one of the three sergeants were on military leave status.

In reviewing the number of front-line staff assigned to each of the (4) 12-hour shifts, the two-day shifts did appear balanced. The experience level of the front-line staff on each shift varied.

- D1 Shift. D1 is a 12-hour day shift that is normally scheduled to work from 7:45 am to 8:00 pm. There were six supervisors of which two were on extended leave status. There were eleven front-line staff of which three had more than nine months of experience;
- E1 Shift. E1 is an alternating 12-hour day shift where staff are scheduled to work from 7:45 am to 8:00 pm when the D1 Shift is scheduled off. There were six supervisors assigned to the shift. There were twelve front-line staff assigned of which eleven had more than nine months of experience;
- D2 Shift. D2 is a 12-hour night shift that is normally scheduled to work from 7:45 pm to 8:00 am. There were five supervisors of which one was on extended military leave status. There were eleven front-line staff of which one was on extended military leave status and nine of the front-line staff had more than nine months of experience; and
- E2 Shift. E2 is an alternating 12-hour night shift where staff are scheduled to work from 7:45 pm to 8:00 am when the D2 Shift is scheduled off. There were six supervisors assigned to the shift of which one was on FMLA extended leave status. There were eight front-line staff assigned of which four had more than nine months of experience.

To put into perspective the available staffing levels compared with workload responsibilities, to fill the (4) general population housing unit FLS positions at an appropriate level, (16) front-line staff are required on the day shift and (12) are required during the evening shift. Not one of the (4) 12-hour shifts had more than 12 front-line staff assigned to the entire shift. To fill the remaining posts including the restricted housing unit, main control, outer perimeter, front gate, access gate or yard for example, facility management personnel, rely on staff working extra hours, supervisory staff filling line staff positions, *C-Card* staff, staff working more than one post, posts being filled intermittently and staff from other facilities.

The number of staff assigned to the *C-Card* was the highest when compared to the (4) 12-hour shifts. There was a total of 25 staff, excluding *new hires* assigned to the shift. Personnel assigned to this shift primarily worked in operational support positions including inmate transportation, contraband control, security supervision in program, service and security specific areas, unit management or back-fill 12-hour post assignments.

Daily Shift Roster. In addition to the master shift assignment roster daily shift rosters are also maintained for the 12-hour shifts that identify in more detail the actual staff assigned by day, their post assignment, staff on leave and responders. The daily shift rosters are designed to identify how scheduled personnel are utilized and provide a best practice tool for documenting staff accountability.

Based on a review of sample daily post assignment rosters there is no consistent reference to staff scheduled as working overtime, responders, post classifications or a recapitulation table to identify how all scheduled staff were utilized. In reviewing the daily shift roster, it is extremely difficult to identify whether all staff assigned to the shift are scheduled and where they are assigned.

The *C-Card* maintains an automated daily shift roster that identifies the name of the employee, gender, employee number, where they are assigned and if applicable leave status. Staff reported a manual daily shift assignment roster was not normally being completed. As a result, there is no reference to post classification levels or a recapitulation table provided for the *C-Card* shift.

Post Coverage. By memorandum from the *Division of Security*, post assignments should be classified as either, Pull Post Level I, Level II, or Level III (mandatory) to assist shift supervisors when determining which posts can be temporarily collapsed or closed due to staff shortages, emergencies, overtime reduction efforts or other reasons deemed necessary by the shift commander or facility management. The classification of post assignments is designed to ensure certain post are shut down first. The approved Post Chart identified several post assignments as mandatory.

In reviewing sample daily shift rosters and interviewing staff at the facility it appeared all the mandatory posts identified in the *Division of Security* post chart were not consistently being filled. The discrepancy between operational practice and recommended mandatory posts was widespread and not a reflection of just one or two posts.

The primary difference was in the number of posts being filled when more than one post is identified in the post chart. For example, in the post chart the *outer perimeter patrol* post is identified as three posts to be filled on a 24/7 basis. Based on staff interviews and a review of completed daily shift rosters, one post is normally filled instead of three. Additional discrepancies between the operational practice and recommended level III (mandatory) posts include the following:

- Housing Units (9); and
- Restricted Housing Unit Wing Officer (4/3).

The housing units routinely had fewer than nine front-line staff and the restricted housing unit normally had fewer than four wing officers on the day shift and three on the evening shift.

The operating practice reflected that when supervisory personnel were present they were performing both supervisory functions as well as front-line responsibilities. When supervisory staff were not present front-line staff were responsible for their post as well as an additional front-line post.

At McCormick the basic elements of a roster management system are in place, except for having an appropriate number of security personnel. A post analyses has been completed, master shift assignment rosters have been developed and daily shift rosters are completed on the main shifts. The primary concerns identified are there are not enough security personnel to meet existing workload responsibilities without relying on staff from other facilities, staff working outside their position classification or staff working extra hours.

The second concern is in the completeness and accuracy of daily shift rosters. The daily rosters should be considered potential legal documents that identify how all staff scheduled are utilized. When properly applied, roster management systems can consistently identify how staff are utilized and potential deficiencies.

Additional concerns with the roster system include the following:

- The recommended minimum staffing levels for each 12-hour shift needs to be reviewed and updated on a regular basis. Daily shift rosters reflected that established minimum staffing levels were not being met on a consistent basis. Monthly in-house reviews should be completed to determine the effectiveness of the system and to confirm or re-establish minimum staffing levels; and

- The daily shift roster templates should be standardized to reflect how **all staff** assigned to the shift are utilized. The daily roster should incorporate a recapitulation table and identify the name and number of staff assigned by position to the shift, the approved post assignments, the post classification, leave-time, post closures and who is assigned to each post. Staff assigned to posts for less than a full shift, detailed to a special assignment, working overtime or using benefit time should be clearly identified on the daily roster.

### Staffing Recommendations

The most significant concerns expressed by facility personnel during the on-site review involved the impact available staffing levels were having on the operations of the facility. Staff reported a combination of overall working conditions and safety as their primary concerns. On the day of the on-site assessment the facility was operating at 57.5% of the approved funding level.

### Recommended Post Assignment Enhancements

**Court Yard.** The McCormick Correctional Institution is a campus-style facility with four primary housing units, programs and service areas surrounding a large courtyard. To get from the housing units to most program activities and services inmates are required to walk through the courtyard which includes interior fencing and gates. The gates were locked on the day of the site visit and the interior fence lines were approximately 12 feet high. All authorized movement at this maximum-security facility is controlled movement. It is essential and a fundamentally sound correctional practice in a maximum-security facility that security staff be present to monitor, control access and authorize inmate movement.

Based on the size of the facility and location of work, program and service areas in relation to the housing units, dedicated yard officers should be consistently assigned to the courtyard. Staff are required to control access, monitor existing activity levels, including medical pill and insulin lines, provide internal roving physical plant security in all courtyard areas of the facility and serve as responders. Additional yard post assignments are identified in the recommended post chart.

**Post Relief.** In view of the available staffing levels at McCormick, staff assigned to the 12-hour shifts do not normally receive a meal break during their shift. There is usually no staff available to provide such relief. State and federal regulations do not mandate employers to provide breaks; however, SCDC policy does. Under the current circumstances and based on existing staffing practices most front-line staff are not only filling one post assignment they are routinely filling two. The value and benefits of providing short breaks to staff filling 12-hour posts should be recognized. The updated recommend post chart includes establishing "Security/Relief" posts that provide temporary relief to staff assigned to shift assignments;

**Shift Relief.** A complete shift relief factor is not reflected in current staffing levels. To cover post assignments when assigned personnel are off, is normally accomplished through assigning overtime, merging post assignments, or redeploying staff from other designated post assignments;

**Kitchen/Dock.** MCI routinely requires supervisory personnel to assist in providing security supervision during meal periods and relies on food service personnel to assist in providing on-site security. The cafeteria is divided into three primary sections, the dining area, serving line and kitchen.

The kitchen contains a food preparation area, storage, office space and access to the loading dock. This area includes multiple blind spots, culinary tools, a high number of assigned inmates and access to outside the building including the dock area for the cafeteria. Food service personnel are present in the area; however, their primary focus is on food preparation and getting the meals ready to be served. No security personnel are normally assigned to the kitchen/dock area which should be considered a critical post and high-risk area during operating hours. Additional five-day, 8-hour staggered posts are being recommended;

**Housing Units.** The general population housing units when fully operational each have an operating capacity of 252. Approximately 71% of the inmates housed at McCormick are considered level III, maximum custody inmates. These are generally individuals with a history of violence with long sentences and/or inmates who have exhibited behavioral problems while in the system. The inmates are housed in one of two wings located within each unit. Each wing is separated by a common vestibule that contains a secure entry/exit to the building, officer work space and entry into each wing. Visibility from the vestibule area into each wing is limited.

Actual staffing levels vary by shift, day and the availability of supervisory and unit management personnel. Based on the everyday responsibilities of an officer and the activity levels of each unit the practice of having one officer assigned to provide security, custody and control of over 200 maximum custody inmates is inconsistent with realistic expectations of what an officer can accomplish or is expected to accomplish. Relying on supervisory staff to serve as front-line staff, impacts the ability of the supervisor to meet their position responsibilities. As a result, effective supervision in the housing units is not consistently being provided at this facility. Additional post assignments to meet established responsibilities are being recommended;

**Medical.** The medical unit at McCormick provides a variety of traditional services found in the operation of a correctional facility medical unit. Pill lines, Insulin, Exams, Chronic Clinics, Doctor Appointments, Dental services, Interviews and Sick Call. In addition, there is a 20-bed residential Assisted Living Unit connected to the medical unit. Since maximum security medically dependent inmates reside in the unit, staff should be present. Since the activity level during the days shift involves inmate interaction between civilian and contractual staff, security personnel should be present to monitor and control movement and activity levels in the service areas;

**Vocational Education.** There were two lieutenants assigned to the vocational programs serving as instructors. Although the two lieutenants may be available when needed, resulting in closed programming activities, current practice is not consistent with the position classification. Staff assigned as correctional lieutenants primary focus should be on security and assisting in facility security supervision;

**Transportation.** On average MCI is responsible for providing three medical runs five days per week, Monday through Friday and between one and two court runs 2-3 days per week. Based on policy, a minimum of two staff are required for all transports of level II and III inmates. Current staffing practice is for two dedicated staff to be assigned to transportation. Based on established workload, additional five-day dedicated personnel should be assigned to transportation to meet the existing responsibilities; and

**Restricted Housing Unit.** The Restricted Housing Unit (RHU) has an operating capacity of 101 and consists of two separate housing areas, referred to as A-Wing and B-Wing. Each wing contains two tiers, surveillance cameras, a small dayroom area, secure cells, recreational space and showers. Some cells have a single entrance door and others have a double door entrance.



The cells with a double door have a secure vestibule located between each door. The two wings are separated by a secure control room available to provide added security, visibility into the wings, remote access control and security support. The control room is required to be staffed on a 24-hour basis. In-house policy requires assigned staff to conduct 30-minute security checks, escort medical personnel on the wing, deliver mail as needed, deliver meals, conduct inmate counts, escort inmates to the shower, visitation and recreation area and conduct building security checks. For inmates to be escorted out of their cell, a minimum of two staff are required to be present.

All these responsibilities require additional security personnel other than the officer assigned to the control room. This is a staff intensive high security unit and when insufficient personnel are available required responsibilities are usually not being met. Appropriate staffing levels should be provided to meet responsibilities consistent with policy.

### Shift Relief Factor (SRF)

An updated shift relief factor has been developed for McCormick based on data provided by personnel assigned to the Research and Information Management Division (RIM). The shift relief factor (SRF) represents the number of staff required to fill one post assignment throughout the year based on the number of hours the post needs to be filled divided by the number of hours the average employee assigned to the post is available.

Staff attendance, off-post hours and leave-time results are inputted into a department recognized electronic data base and transferred into an automated system that can identify the shift relief factor. The SRF electronic workbooks have been set up to allow the user to specify the institution and hours per shift which will automatically recalculate the SRF accordingly.

The SRF calculation for this project is based on the following:

- All security staff (cadets – major) who were assigned to the institution during the entire year;
- A blended work schedule, including the use of both an eight-hour administrative shift (160 hours) and the straight 12's (168 hours) schedule;
- An average of the three most recent completed years that was available at the time the report was being initially prepared. This included 2015, 2016 and 2017. The purpose of evaluating data from the past three years instead of one year minimizes the chances the SRF will be influenced by one or more unusual factors or outliers.
- At McCormick the use of employee leave-time is higher than any of the other facilities reviewed.
  - The average number of sick-time used during the three-year period was (130) hours per year. The average for all the other facilities was (96.3);
  - In 2017, the average full-term security employee used (146) hours of sick-time. The average for all the other facilities was (108);



- In 2017 the average full-term security employee used (146.4) hours of annual leave (vacation) and in 2016 they used (129) and in 2015, (115) hours.
- The SRF is reflective of the facility being fully staffed; and
- Most posts recommended are considered relief posts. Refer to Appendix A for the detailed formula used to determine shift relief factors and the post chart appendix to identify specific post assignments being recommended.

<b>McCormick Correctional Institution Shift Relief Factors - 2018</b>			
<b>Average 2015, 2016, 2017</b>	<b>8 Hour Shift 5-days</b>	<b>8 Hour Shift 24/7-Days (160 hrs.)</b>	<b>Straight 12-Hour Shift 24/7 days (168 hrs.)</b>
<b>Institution</b>			
<b>McCormick CI</b>	<b>1.35</b>	<b>5.67</b>	<b>5.21</b>

A shift relief factor of 5.21 can be translated to mean that for one year, an average of 5.2 staff (5.21) will be required to fill one 24-hour post assignment, when applying the straight 12-hour shift schedule (168 hours). A five-day shift relief factor for one 8-hour post assignment requires an average of 1.35 staff (160 hours) throughout the year.

### **Staffing Level Recommendations**

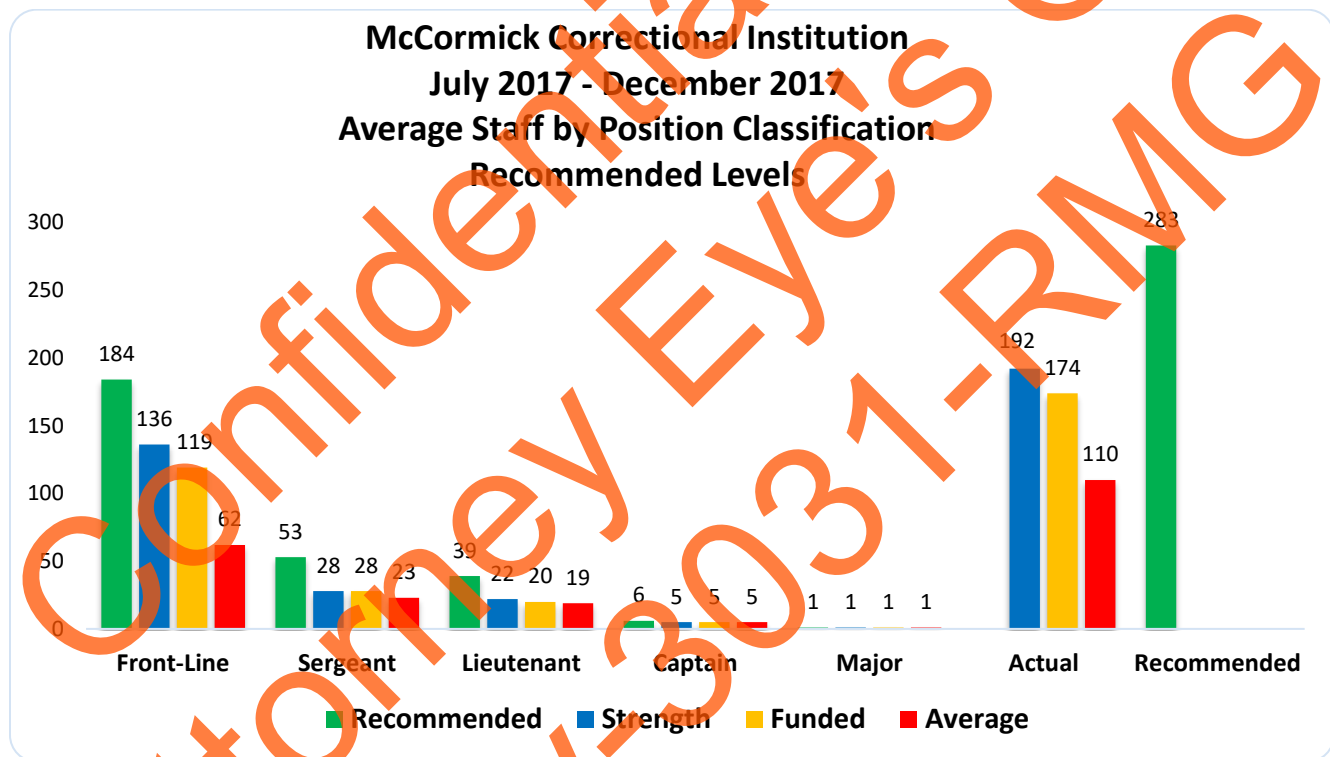
A recommended post chart has been developed to identify the number of security staff recommended to meet the current mission of the McCormick Correctional Institution when fully operational. As the mission changes the staff requirement may also change.

The staffing recommendation is based on applying the following:

- A blended work schedule consisting of a 12-hour work schedule (168 hours) and an 8-hour (160 hours) administrative schedule;
- A 28-day pay cycle applying Section 7(k) of the Fair Labor Standards Act (FLSA) to determine the overtime threshold;
- A shift relief factor based on the most recent available three-year average leave-time and reported authorized time unavailable to fill a post, i.e. staff training, break;
- The facility fully operational including staffing all existing housing, program and service areas;
- The facility continues to operate under the established policies and current mission; and
- Taking into consideration security staffing related requirements as stipulated by court orders, settlement agreements, state and federal laws.

McCormick Correctional Institution Security Staffing Recommendations	
<i>Position Classification</i>	<i>FTE</i>
Major	1
Captains	6
Lieutenants	39
Sergeants	53
Front-Line Staff	184
<b>Total</b>	<b>283</b>

The recommended security staffing level for the McCormick Correctional Institution is 283. The facility had been operating at 38.9% of the recommended level during the reporting period. A detailed listing of recommended post assignments can be found in the appendix.



## **Perry Correctional Institution**

The Perry Correctional Institution (PCI) is a state operated level 3 facility located approximately 80 miles northwest of Columbia in the town of Pelzer, South Carolina. The facility was opened in 1981 and serves as one of South Carolina's adult male maximum-security correctional facilities. The current capacity at Perry is reported as 954 and the average daily population during the first nine months of 2017 was 844. One of the four Restricted Housing Units at the facility was closed during the review period resulting in a reduction in the operational capacity of the facility.

While most of Perry's inmate population is considered maximum custody a small percentage of inmates (approximately 10 percent) are classified as level 2 (medium) or lower. At the time of the review approximately 32% of the population was on a mental health caseload.

In addition to providing housing and services for the general population, PCI also provides housing and services for special programs including the Restricted Housing Units and an Assisted Living Unit. At PCI there are four Restricted Housing Units (RHUs) one of which was closed during the reporting period. Each of the RHUs has a capacity to house 48 inmates. The Restricted Housing Units are available to house inmates requiring more intense behavioral levels of supervision. These inmates are housed and programmed separately from inmates assigned to the general population. The Assisted Living Unit is a residential housing unit for inmates with confining medical conditions.

The physical plant at Perry was built as a maximum-security facility and is surrounded by a double fence reinforced with multiple rolls of razor ribbon, electronic surveillance equipment, an armed perimeter patrol, high-mask lighting, vehicle access gate, two elevated security towers, sensors and an alarm detection system.



Inside the perimeter of the facility are a variety of buildings and open space provided to help meet existing responsibilities. The physical plant contains the following: Front Gate/Vehicle Access Gate; Lobby; Administration Building; Main Control; Personal Property; Visitation Area; Operations; Programs Building; Mental Health; Security Control; Education; Canteen; Horticulture; Grounds Maintenance; Plant Maintenance; Open Yard; Prison Industries; Multi-purpose; Cafeteria; Medical; Transport and Reception; Assisted Living Housing; Restricted Housing and General Population Housing. Expansive internal movement control fencing, gates and security surveillance cameras are available throughout the interior of the facility. Food Services are normally provided to the general population inmates in the main cafeteria.

All inmate movement was considered controlled movement and the type of movement varied based on the inmates' classification, the purpose for the movement, destination and time of day. A combination of line movement (food services), escorted, supervised and the use of passes (OTR's) was all being used.

### Housing Unit Designs

There are three housing unit designs at the Perry Correctional Institution. All the housing units contain secure cells as dormitory style housing is not available at this maximum-security facility. The housing unit designs are consistent with nationally recognized practices for a level 3 facility. In total there are nine housing areas, eight of which were being used.

- **General Population Units.** Four of the units are designed as **direct supervision** units and were being used to house a variety of general population inmates. Officer work stations are located both within the living area as well as immediately adjacent to the inmate living space in a secure control center. Visibility into each wing can be accomplished through the control room. Each unit contains two wings and secure cells located on both the ground floor and mezzanine level. All cells in each unit have a toilet and wash basin. In addition to dayroom space, ("the rock"), an open officer work station, showers, program space and passive recreational opportunities are available on each wing. The capacity of each of the four double occupancy housing units is (192);
- **Assisted Living Unit.** The Assisted Living Unit consists of secure cells located on one hallway, adjacent to the health care unit. The unit has an operating capacity of (20) and provides dayroom space, telephone access and showers within the unit and an outdoor passive recreation area; and
- **Restricted Housing Units.** PCI has four similar designed Restricted Housing Units in which three were open. Each unit has a centrally located secure control center surrounded by three single story housing wings. The total capacity of each unit is (48). Showers are located on the wing and each cell contains a toilet, bed and wash basin. Outdoor recreation space is located immediately outside the unit adjacent to the building. A total of six safety cells were available in one of the units.

### Program Services

A wide variety of program services are available and integrated into the daily facility schedule. Primary programming includes ABE/GED, Vocational Education, Religious Services, Anger Management, Character-Based Programs, Beekeeping Program, Horticulture, Volunteer Services, Alcohol and Drug Education, Law Library, General Library, Recreation, Visitation, Canteen and the Prison Industry Program.

## Security Staffing Profile

On the date of the site visit (*October 30, 2017*), there were (135) full-time security staff positions filled. The approved *funding level* was (212) and the department recognized *authorized strength* was (234). The approved *funding level* is the number of personnel in each position classification approved by the department to be filled. The *authorized strength* is the current recognized number of security positions identified to operate the facility safely. The *authorized strength* number is determined by the SCDC *Division of Security* based in part on feedback received from facility management personnel.

Security staff vacancies have been a concern at Perry for an extended period. In January 2011 the reported security staffing level was (223). This was the high point for a seven-year period from January 2011 to November 2017. On October 30, 2017, the date of the on-site assessment, the reported security staffing level was (135), a 39% decrease in security personnel when compared with January 2011. The staffing level on the day of the on-site assessment represented 88 fewer staff were available than in January 2011.

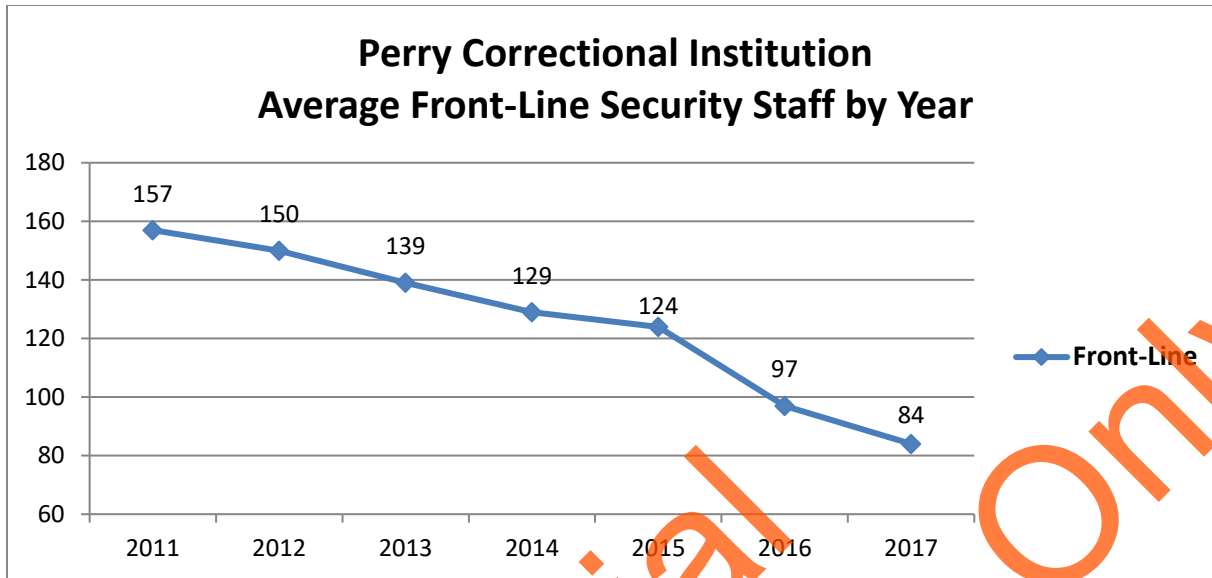
The figures below identify the **total number of filled security positions** reported on January 1st of each year.



Source: SCDC Research and Information Management

The primary difference in the security staffing levels at Perry is in the **average number of front-line positions that were filled**. This includes cadets, correctional officer I/II's and corporals. A significant decrease in front-line security (FLS) staffing levels began in 2011 and has continued to decline through 2017. The **average number of filled FLS staff positions** for each year since 2011 is shown in the following table.





Source: SCDC Research and Information Management

During 2017 the facility was operating with 46.5% fewer FLS staff than were available in 2011. The only operational change significantly impacting staffing reported by staff during the past seven years is the closing of one restricted housing unit.

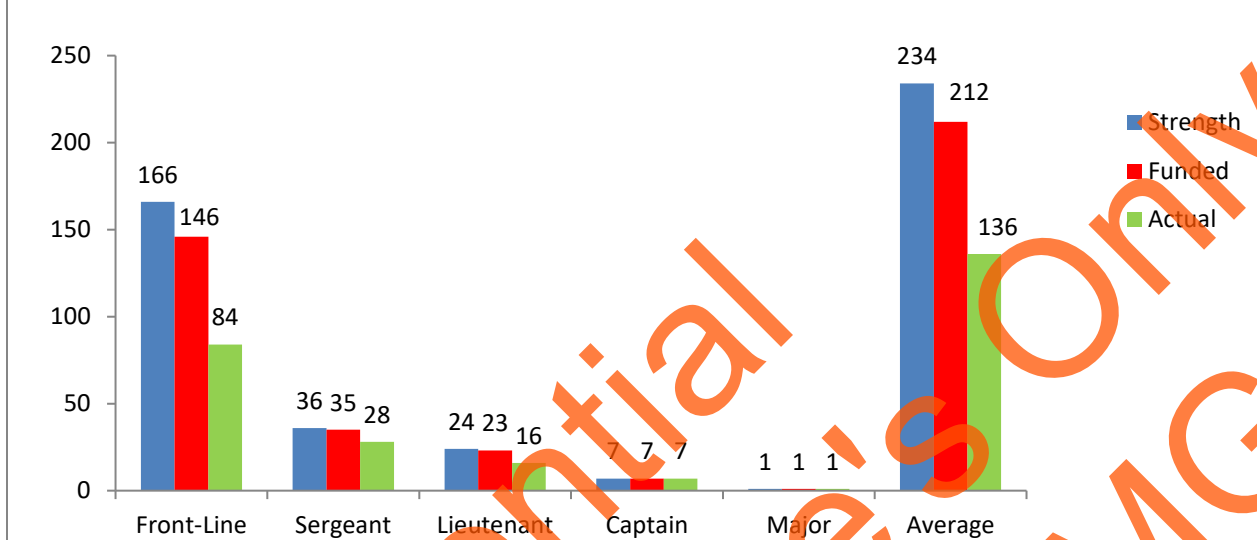
#### Recent Staffing Trends

The following chart depicts the average staffing levels for the period from July 1, 2017 to December 1, 2017. The facility was operating at a level where on average there were approximately (76) funded positions that were not being filled. These were funded positions that had been approved by the department; however, remained vacant. In respect to the recommended *authorized strength* level, the facility was operating with an average of (98) position unfilled during the same reporting period. Front-Line positions identified in the chart include cadets, officer I/II's and corporals.

The chart below identifies the **average staffing levels** by position classification during the reporting period of July 1 through December 1, 2017.



### Perry Correctional Institution July 2017 - December 2017 Average Staff by Position Classification



Source: SCDC Research and Information Management

In the chart, the largest number of vacancies (81.6%) was found in the front-line positions. These are the positions that normally have the most frequent direct contact with inmates and routinely include posts such as, housing units, transportation, hospital coverage, inmate escorts and direct security within a specific area.

When considering total security staffing levels, the facility has operated at approximately 64.2 percent of the approved funding level. As a result, the ability to fill all required post assignments in an efficient and cost-effective manner with the current staffing levels is not feasible.

#### Operational Initiatives in Response to Staffing Levels

Facility management personnel have deviated from the original staffing plan and implemented several security initiatives to maintain minimum operations at the facility.

These initiatives routinely include the following:

- **Staff responsibilities are expanded beyond the established post order.** Each post assignment includes a written post order that describes the normal responsibilities associated with the post (OP-22.24)<sup>31</sup>. Under normal circumstances security staff are responsible for one post at a time. Staff assigned to existing posts are routinely required to be responsible for meeting both their assigned responsibilities and responsibilities of an additional post.

<sup>31</sup> SCDC Policy OP.22.24 Post Orders.

This often results in fewer pat-down searches, fewer building and cell inspections, limited inmate escorts, delays and or cancellations in program and service delivery;

- **Staff are augmented to leverage existing personnel resources.** Since 81.6% of the vacancies were in the front-line positions, personnel outside those position classifications frequently fill front-line post assignments. Based on a review of daily shift assignment rosters, sergeants, lieutenants, counselors and unit managers are frequently used to meet front-line post assignment responsibilities, limiting the time available to supervise or perform their normal responsibilities;
- **Shift Supervisory personnel routinely work 14-15 hr. days.** To meet existing responsibilities, shift supervisory personnel routinely arrive prior to the start of their assigned shift, review staff availability, facility schedules, overall shift workload, manage the shift and remain after their shift is normally over to ensure effective communication and staff coverage. Lieutenants and captains are not eligible to receive overtime compensation;
- **The facility is placed on full or partial lockdown to limit movement outside the cell and reduce staff workload.** The first eleven months of calendar year 2017, the facility reported they were on full or partial lockdown a total of (203)<sup>32</sup> days due to staff shortages. This resulted in limited access for the inmate population to programs and services during those days;
- **Staff initially not scheduled to work fill vacant post assignments often at an overtime rate.** The first eleven months of 2017 the facility had over \$672,500 in overtime expenditures for security personnel. During the same period in 2016 the facility had over \$539,000 in overtime expenditures for security personnel. Most of the overtime is the result of staff not initially scheduled to work filling vacant required post assignments, fewer overall FLS staff being available, attending required training and filling a post due to late reliefs;
- **Out of Cell Recreation is not consistently offered in RHU.** Based on staff interviews and a review of available documentation, inmates assigned to the Restricted Housing did not routinely receive access to recreation outside their cell at a frequency consistent with policy;
- **RHU wellness checks not consistent with policy.** SCDC operational policy, OP-22.38, Restrictive Housing Unit states the following: *Correctional Officers assigned to the RHU will be required to conduct security checks and to personally observe each inmate at least every 30 minutes on an irregular, unannounced schedule. The time of each security check will be recorded in the RHU permanent log book and SCDC Form 19-7A, "Cell Check Log."*<sup>33</sup> There was no evidence available in the log book to indicate 30-minute checks were being completed on a consistent basis;
- **Personnel are often compensated at an overtime rate to complete required staff training.** Uniformed security personnel are routinely scheduled to complete required training on their off-days resulting in additional overtime expenditures;

<sup>32</sup> SCDC Operations. Lockdown Statistics.

<sup>33</sup> SCDC Policy OP-22.8 Restrictive Housing Unit, 14.

- **Post Assignments go unfilled.** A review of daily shift assignment rosters from July 2017 through October 2017 reflect all post assignments in the housing units, front gate, medical, transportation, cafeteria and yard are not routinely being filled;
- **Posts are occasionally filled by staff from other facilities.** July 2017 through October 30, 2017 staff from Livesay Correctional Institution were used (29) days to fill a required post assignment at PCI. Staff reported personnel from Livesay were routinely used to fill posts outside the perimeter;
- **Staff assigned to 8 or 12-hour shifts do not consistently receive meal breaks.** Most staff assigned to the shifts do not receive a recognized break from their post assignment. Federal (Fair Labor Standards Act) and state labor laws do not require the employer to provide a meal period or break to employees; however, SCDC policy does;

*SCDC Policy ADM-11.21 Regular Working Hours and Overtime cites in section 1.1: The official work schedule for security positions will be either 1.1.1 eight (8) hour shifts or 1.1.2 twelve (12) hour shifts on a 28-day cycle, including at least one 30-minute meal period each shift.*

- **Filling Mandatory 24-hr. post assignments intermittently.** The Division of Security has developed a post chart as a guideline to identify post assignments required to be filled and when they are to be filled. Existing operational practices frequently result in all posts not being filled and staff assigned to non-stationary posts, intermittently filling posts such as the yard, access gate and housing units;
- **C-Card front-line security staff work additional hours.** Security staff assigned to the 8-hour shift work one weekend every other week in addition to their regular schedule to fill required post assignments;
- **Staff assigned to the 12-hour shifts are routinely scheduled to work a minimum of 168 hours in a recognized 28-day pay cycle.** Staff working the additional 8 hours are compensated at straight-time for working the 8 hours. Initial department practice was to provide staff assigned to the 12-hour shifts, 8 hours off per pay cycle; however, this practice was no longer occurring. Staff assigned to the 8-hour shifts are routinely scheduled to work 160 hours in the same recognized pay cycle;
- **Front-Line Security Staff assigned to transportation worked over 300 hours of overtime in one month.** The (7) front-line staff normally assigned to the transportation unit worked a total of (309.75) hours of overtime during the period of October 1, 2017 through October 27, 2017. One staff member worked (92.25) hours of overtime in addition to their regular schedule during a single pay period; and
- **One Restricted Housing Unit was closed.** One of the four Restricted Housing Units was not operational.

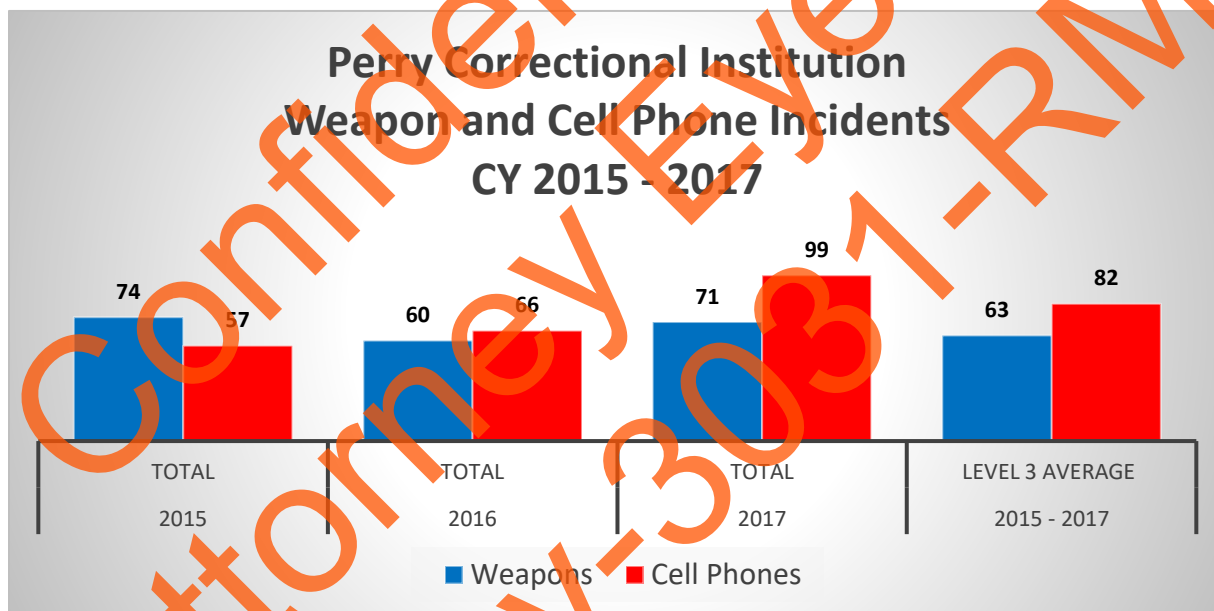
## Demonstrated Risk Factors

**Contraband Incidents.** The introduction and presence of contraband in a correctional facility has always been an issue and a primary management concern when operating a facility. It often leads to unauthorized movement, destruction of property, compromised staff, trespassing, criminal activity and violence. At Perry it is no different. In 2017 personnel recovered “bullets” inside a housing unit at the facility.

Based on data received from the SCDC Research and Information Management Division, there has been more cell phone and weapon related incidents in 2017 at Perry than the three-year average for all level 3 facilities.

The Director of the department has been at the forefront on a national basis calling for federal support to change laws to allow cell phone jamming in correctional facilities. The Communications Act of 1934 and the Telecommunications Act of 1996 prohibit the operation of cell-phone-jamming equipment by any person, including state and local officials. In addition, the Act prohibits the manufacture, importation, marketing, sale or operation of devices deliberately designed to jam or disrupt wireless communications.

At Perry cell phone related incidents was the number one type of contraband reported in 2016 and 2017. In 2015 weapon-related incidents was number one and cell phones was number two.



Source: SCDC Research and Information Management.

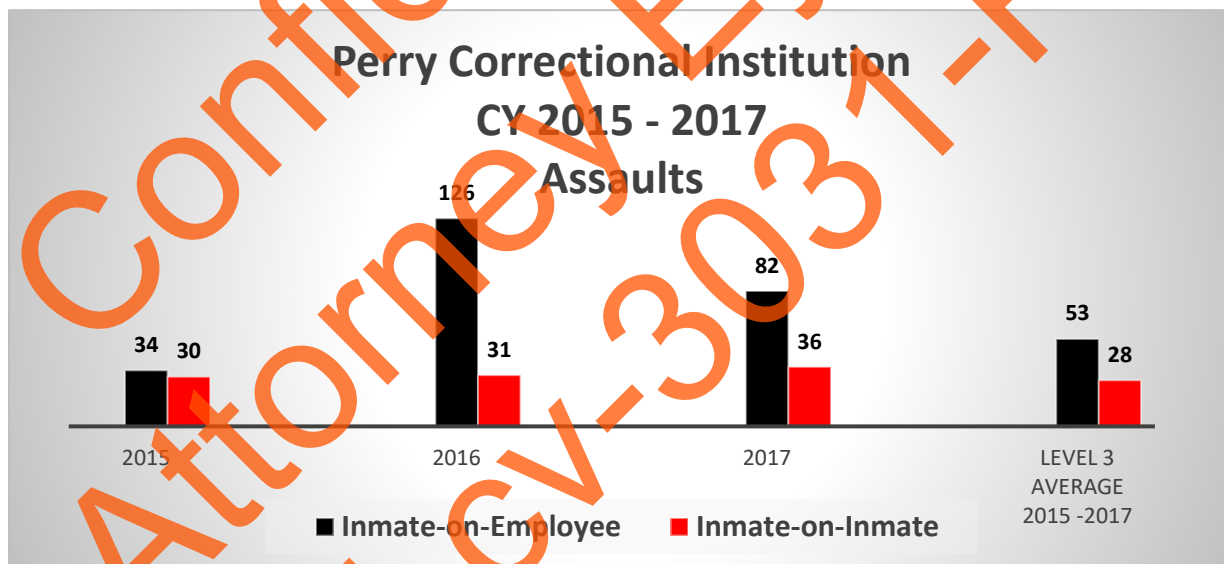
On the date of the on-site assessment, the facility reported one dedicated *C-Card* staff member was assigned to contraband control. One of the keys to an effective contraband prevention and detection plan, is to recognize there is often an extreme amount of pressure placed on staff, especially inexperienced staff, by inmates to be involved in contraband trafficking. It is often initially presented as a harmless venture that can often lead to intimidation, violence and a risk to the public, staff and inmates. The established plan needs to be based on available resources and be presented as a facility-wide goal. Part of the plan should ensure fundamental practices including searches, patrol, detection and intelligence gathering are consistently incorporated into daily activities by all staff, not just those assigned to contraband control.

Once an employee becomes responsible for more than one post assignment at a time their ability to carry out all the necessary functions diminishes. It becomes extremely difficult based on the overall workload to conduct a thorough search of an individual, cell or area when the officer is the only security staff member on a wing or on the yard. It takes time, skill and focus to conduct a proper search. At Perry security staff are routinely responsible for more than one post assignment at a time.

**Assaults.** A second risk factor that is often associated with staffing levels is the number of assaults that occur at a facility. The number of staff, staff training and the experience level of staff is often referenced as one of the causes of prison violence. Although there is no internal or external study that supports insufficient staffing as the cause of violence, in most cases it should be considered a contributing factor. Having a sufficient number of well-trained knowledgeable staff assigned to appropriate locations should be the goal of every facility. The assumption that if properly trained staff were present and available as identified in the recommended staffing plan, the chances an incident resulting in an assault occurs may not be as high. This may not always be the case; however, it should be considered a fair assumption.

At Perry, the number of assault-related incidents on both inmates and employees were higher than the average reported for all level 3 facilities. In 2016, an officer was reported to have been taken hostage and beaten at the facility. In 2017 two officers were attacked by an inmate and in a separate incident one inmate died after a fight with another inmate.

The following chart reflects overall assaults occur at a higher than acceptable level at PCI and higher than the overall three-year average for level 3 facilities. This should be considered a contributing factor to staff turnover rates and whether staff want to continue to be a part of this type of work environment.



Source: SCDC Research and Information Management.

#### Key Positions

Administration. The approved administrative core positions for the facility include a superintendent (Warden) and two assistant superintendents (Associate Warden of Operations/Assistant Warden of Programs). The Warden and Major provided a tour of the facility and were available throughout the day to discuss facility operations and to clarify pertinent staffing-related questions.

After the initial on-site assessment both the warden and the former major (promoted to associate warden) were available via telephone to clarify pending issues.

Supervisor Posts. The highest-ranking security position outside of the administrative core positions is the major. On the date of the site visit the major position was filled; however, the individual in that capacity was recently notified he was being promoted to the Associate Warden of Programs position. The major position is routinely considered the Chief of Security and reports to the Associate Warden of Operations. In addition to the major, seven captains were assigned to the facility and serve as either the administrative captain or one of (6) unit managers. The administrative captain is primarily responsible for conducting hearings, roster management and supporting the major in security-related administrative functions. The unit managers are primarily responsible for housing unit management and services.

Each of the (4) 12-hour shifts are supervised directly by a lead lieutenant who normally is assisted by at least one other lieutenant assigned to the shift. The shift supervisor is responsible for overseeing shift operations, deployment of security personnel and meeting facility security needs as they arise. Based on operational practice additional lieutenant responsibilities on the 12-hour shifts when available normally include serving as assistant shift commander, providing supervision in the restricted housing units or being assigned to the yard.

In addition to the lieutenant position all the (4) 12-hour shifts have sergeants available to assist primarily in providing supervision in the restricted housing units, main gate, yard and general population housing units.

The 12-hour day shift starts at 5:45 am and is scheduled to conclude at 6:00 pm. The evening shift starts at 5:45 pm and normally concludes at 6:00 am. Each shift includes a formal employee paid fifteen-minute shift briefing prior to proceeding to their assignment.

PCI also applies a "blended" shift schedule that includes staff working an 8-hour shift, commonly referred to as the *C-Card*. Under blended staffing the supervisor post assignments that have more variable levels of work are assigned to an 8-hour post. At Perry the 8-hour shift supervisory posts normally include the following: Environmental Health and Safety, Programs Building Security, Multi-Purpose, Contraband, Education, Field lieutenant, Training, Transportation, Key, Armory and Property Control and Unit Management personnel.

Most supervisory staff assigned to the 8-hour shift are scheduled to work from 8:00 am to 4:00 pm Monday through Friday; however, various starting and ending times are used to best meet the needs of the facility.

In each of the housing units at PCI a scaled down version of the unit management concept has been adopted. Unit Managers consist of veteran security personnel that fill a captain position on the roster. These non-uniformed supervisors serve as the housing unit administrator and are responsible for managing activities, staff and inmates assigned to a specific housing unit. Working with the unit manager is normally a sergeant who serves as the assistant unit manager of a housing unit and counselor to inmates assigned to the unit.

Due to the limited number of front-line security staff available to be assigned to the housing units, and the workload responsibility associated with operating a housing unit, staff assigned as the unit manager and counselor often deviate from their designed roles to fill a more traditional officer and/or sergeant role. During the reporting period there was (1) unit manager (captain) assigned to each of the primary housing units.



One of the Unit Managers was responsible for two housing units, including Q1 (Character-Based Program) and Q2 in which at the time one wing housed inmates assigned to a Character-Based Program and the other wing housed inmates that required mental health services. In total there were six dedicated unit managers and three dedicated unit counselors specifically assigned to the unit management program.

In reviewing the reporting period of July 2017 to December 2017, on average approximately 38.2% of the filled security positions were considered supervisory positions. The approved funding level for security supervisors at PCI allowed for (66) positions of which on average (52) were filled. The sergeant position averaged seven vacancies and the lieutenant position averaged seven vacancies during the reporting period. Turnover rates, the number of qualified candidates applying for positions and the lack of overtime compensation for the lieutenants were cited as contributing factors to consistent vacancies.

Front-Line Security Posts. For this study, front-line security staff positions include Cadets, Correctional Officer I/II's and Corporals. Cadets are those uniformed individuals that are 18 to 20 years of age, have not received all the firearms training required of an officer and are limited in where they can be assigned. On the date of the site visit there were four cadets. Correctional Officer I/II's are the traditional front-line security staff member age 21 and over and once certified may normally be assigned to most any front-line post assignment. Corporals are non-supervisory lead officers normally with a minimum of 18 months experience that may be assigned to any front-line staff post within the facility. Individuals in these positions normally serve as the lead employee when two or more front-line staff are working together. For the most part based on current practices the officer I/II's and corporals are frequently interchangeable when considering post assignments.

A review of front-line security staffing levels reflected approximately 33% of the front-line security (FLS) staff had less than one yr. of service with the SCDC. Staff with less than one year of service are generally prohibited from being assigned to transport posts, restricted housing units or allowed to provide hospital coverage. Because of the staffing profile a significant number of the post assignments normally filled by front-line personnel were being filled by staff with limited experience.

Key post assignments where front-line staff are normally assigned include: Main Control, Perimeter Patrol, Front Gate, Perimeter Tower, Transportation, Prison Industries, Yard Officer, Housing Units, Restricted Housing Units, Assisted Living Unit, Building Maintenance, Operations, Medical, Lobby, Tool Room, Contraband and Armory/Key Control. Some of these post assignments are required to be filled 24-hours per day, seven days per week, while others may be required to be filled for 12-hours, 10-hours, 8-hours or less per day ranging between two and seven days per week. Shift schedules are designed to allow for the concentration of security staffing levels to be available at times when the workload and activity levels in a specific area are generally higher.

The recent reporting period of July 2017 to December 2017 revealed on average, approximately 61.8% of the filled security positions were considered front-line security (FLS) positions. The approved funding level for FLS staff at PCI allowed for (136) positions of which (84) were filled.

### **Roster Management**

Roster management and staff scheduling at PCI are considered essential elements in the daily operation of the facility. In-house roster management for security positions are performed primarily by the administrative captain in concert with the shift commanders.

A post chart has been developed by the *Division of Security* as required by policy to identify recommended staffing levels and to guide facility personnel on where and when to fill identified post assignments. In addition, minimum staffing levels have been established for the 12-hour day and evening shifts. At Perry the 12-hour minimum staffing level established by the *Division of Security* for the day shift is (30) and for the evening shift is (25). A review of the sample daily rosters reflected the facility never met the minimum established staffing standards. On the date of the on-site assessment there were fewer than (34) staff assigned to either of the 12-hour day shifts and fewer than (30) staff assigned to either of the evening shifts.

Shift Assignments. A master shift assignment roster for security personnel has been developed by facility personnel that identifies the following: the names of staff assigned to each shift, their position classification, leave status, *C-Card* post assignments, names of “new hires” and their corresponding orientation/basic training dates and the number of potential staff considered “committed”.

The master shift assignment roster shows staff were primarily assigned to one of five shifts. The (4) 12-hour shifts reflected a relatively balanced division of staff in both numbers and position classification.

Shifts identified as D-1 and E-2 had six supervisors each and the shifts identified as E-1 and D-2 had eight supervisors. The number of front-line staff assigned to each of the (4) 12-hour shifts on the date of the site visit indicated the shifts appeared relatively balanced. The shift identified as D-1 had (13) front-line staff, D-2 had (14) front-line staff and E-1 and E-2 had (16) each. The proportion of supervisors to front-line staff on each of the four 12-hour shifts is considered high; however, the total number of staff per shift is low when considering the corresponding workload.

The highest concentration of staff was assigned to the *C-Card* when compared to the (4) 12-hour shifts. There was a total of (35) staff, excluding *new hires* assigned to the shift. Personnel assigned to this shift primarily worked in operational support positions including transportation, unit management and security supervision in program, service and security specific areas.

Daily Shift Roster. In addition to the master shift assignment roster, daily shift rosters are also maintained for the 12-hour shifts that identify in more detail the actual staff assigned by day, their post assignment, staff on leave and responders. The daily shift rosters are designed to identify how scheduled personnel are utilized and provides a best practice tool for documenting staff accountability.

At Perry there were three different daily post assignment rosters presented. One of the three formats identified posts by category. The categories included: *Perimeter Posts, Medium Security Posts, Mandatory Posts, Maximum Security Posts and Hospital Duty*. In each category post assignments were identified, and space was provided to insert the employee name. In the other two roster formats there was no reference to post classifications or post categories.

Perry was the only facility where the sample rosters identified a recapitulation table on one of the templates. The roster identified the number of staff assigned, where they were assigned, and staff assigned from another facility. In reviewing the roster, it was clear how all staff that were scheduled were utilized. The concern is that all the shifts did not use the same template.

The *C-Card* maintains an automated daily shift roster that identifies the name of the employee, gender, employee number, where they are assigned and if applicable leave status. Staff reported a manual daily shift assignment roster was not normally completed for the *C-Card* shift.

Post Coverage. By memorandum from the *Division of Security*, post assignments should be classified as either, Pull Post Level I, Level II, or Level III (mandatory) to assist shift supervisors when determining which posts can be temporarily collapsed or closed due to staff shortages, emergencies, overtime reduction efforts or other reasons deemed necessary by the shift commander or facility management. The classification of post assignments is designed to ensure certain post are shut down first.

The approved Post Chart identified several post assignments as mandatory. In reviewing sample daily shift rosters and interviewing staff at the facility it appeared it appeared all but one of the mandatory posts identified in the *Division of Security* post chart were being routinely filled.

The Tower referred to as Delta 2 had been closed and had been routinely closed due to limited staffing levels. The other operational inconsistency identified involved the actual number of staff being assigned to the mandatory posts.

Specific inconsistencies in post assignments included the Main Control which normally had one officer assigned during the day shift, Operations which had one officer, the Yard Post which did not normally have two staff, Housing Units normally had fewer than six staff assigned, and each Restricted Housing Unit normally had less than two staff assigned to the wings.

The operating practice reflected that when supervisory personnel were present they were frequently performing both supervisory functions as well as front-line responsibilities. When supervisory staff were not present front-line staff were often responsible for their post as well as an additional front-line post.

At Perry the fundamental elements of a roster management system including the identification of post assignments, recommended staffing levels, shift scheduling and daily shift roster development are all in place. This is the only facility where I observed a recapitulation table incorporated into one of the templates used for the daily roster.

The primary concerns with the roster system include the following:

- The post chart identifies mandatory posts that need to be filled and are not routinely filled. There simply is not enough staff. The current operating practice when insufficient staff are available for the following shift is to contact qualified staff currently assigned or on their off-day to determine their interest in working extra hours. Based on the number of staff that are scheduled and the interest level to work, the shift fills as many posts as possible. Most often this results in mandatory posts going unfilled;
- The recommended minimum staffing levels for each 12-hour shift needs to be reviewed and updated on a regular basis. Daily shift rosters reflected established minimum staffing levels were not being met on a consistent basis. Monthly in-house reviews should be completed to determine the effectiveness of the system and the confirmation or re-establishing minimum staffing levels. Current minimum levels appeared to be a goal to achieve; however, not a baseline required to operate; and

- Daily shift roster templates should be standardized to reflect how **all staff** assigned to the shift are utilized. The daily roster should incorporate a recapitulation table and identify the name and number of staff assigned by position to the shift, the approved post assignments, the post classification, leave-time, post closures and who is to each post. Staff assigned to posts for less than a full shift, detailed to a special assignment, working overtime or using benefit time should be clearly identified on the daily roster.

### Staffing Recommendations

The most significant concerns expressed by facility personnel during the on-site review involved the impact staffing levels were having on the operations of the facility. Staff reported fundamental practices such as quality shakedowns, roll call counts, security checks and service provisions were not consistently being applied as may have been the practice in the past. After inspecting post assignments, the physical plant, interviewing staff and reviewing the master shift assignment and daily rosters, the following additional recommendations and concerns are presented.

### Post Assignment Enhancements

**General Population Housing Units.** Approximately 90% of the inmate population is considered maximum-security and each of the four general population units have a total housing capacity of 192. Assigned inmates are housed in two separate wings and there is routinely one officer assigned to each unit. One of the housing units provided a character-based program and another unit on the date of the on-site assessment had a mental health caseload on one wing and a character-based program on the other.

During the day shift (6:00 am – 6:00 pm) programs and services interspersed with inmate counts and meals are normally being provided throughout the shift. Except for early morning inmate cafeteria workers reporting for work, diabetics reporting to medical and breakfast most inmate movement occurs each day during the day shift.

In addition to the officer(s) assigned to the unit a scaled-down version of a unit management concept is applied at the facility. Unit management is a method for managing inmates that emphasizes decentralization and delegate's decision-making authority to a housing unit team. At Perry a unit manager and unit counselor may be assigned to a housing unit. Their responsibilities are designed to assist in addressing unit issues and managing daily unit activities. Their established role is not to serve as front-line officers. On the day of the site visit, there were (6) unit managers covering seven housing units and three counselors covering three of the four general population housing units. The unit management team is scheduled to work an 8-hour shift five-days per week.

The unit manager and unit counselor normally have staggered starting and ending times to expand the amount of time additional personnel are present. Because of their schedule and responsibilities, they are not consistently present within the unit and when they are present due to limited front-line staff they often fill the role of front-line staff member.

Based on the everyday responsibilities of a front-line officer and the activity levels of each unit the practice of having one or two officers assigned to provide security, custody and control of (192) maximum custody inmates is inconsistent with realistic expectations of what an officer is expected to accomplish.

As a result, effective supervision in the general population housing units is not always being provided. Additional front-line staff are required to consistently meet established responsibilities;

**Restricted Housing Unit (RHU).** There were three operational RHU's providing housing, programs and services for inmates. Each housing unit has a secure centrally located control room and three housing wings. The reported operational capacity of each RHU is (48). Inmate housing is provided in secure cells which contain a bed, sink and toilet. Outdoor recreation opportunities and showers are located outside the cell. Based on established policy a minimum of two certified officers need to be present when opening an inmates cell door.

Daily rosters do not consistently reflect two security employees are assigned to the housing unit wings. One officer is assigned to each housing unit control room which controls security doors and is the communication center for each building. However, the number of security personnel assigned to the housing wings varies. To meet post responsibilities and maintain compliance with established policies dedicated wing officers need to be assigned to each RHU. Documentation did not consistently reflect compliance with established policy regarding access to showers or recreation.

In view of the existing responsibilities including in part, conducting 30-minute security checks, inmate escort, meal delivery, supply distribution, cell checks, searches, building checks, providing documentation, staff escort and counts, the required responsibilities cannot be met solely by depending on a security staff member roving between the three housing units.

Additional security personnel are being recommended for each restricted housing unit including supervisory personnel, control room staff and (3) wing officers per operating unit. Escort, shower and recreation security personnel are also required during the day shift;

**Court Yard.** The Perry Correctional Institution is a campus-style facility with nine housing units, of which four of the units, program and most service areas are surrounding a large courtyard. To move from the housing units to most program activities and services inmates are required to walk through the courtyard which includes interior courtyard perimeter fencing and gates. The gates were locked on the day of the site visit and require manual operation. All authorized movement at this maximum-security facility is controlled movement.

It is essential and a fundamentally sound correctional practice in a maximum-security facility that security staff be present to monitor, control access and be available to authorize inmate movement. Based on the size of the facility and location of work, program and service areas, in relation to the housing units, dedicated yard officers should be consistently assigned to the courtyard to meet required responsibilities and serve as first responders;

**Tower.** The perimeter of the facility is protected by a double fence, concertina wire, electronic fence detection system, surveillance cameras and mobile roving patrol. In addition, there are two elevated perimeter towers and one perimeter station available. The second tower and perimeter station (Delta 4) are not normally staffed. Based on the location of the housing units in proximity to the perimeter, lack of sufficient courtyard staff, extremely high number of cell phone related incidents and potential public access to the immediate area, providing sufficient personnel to staff Delta 4 is in the best interest of providing effective operations at the facility;



**Access Gate.** The location of the access gate controls access to/from the courtyard area to the medical unit, education building and visitation. On the day of the site visit there was no security personnel assigned to the manually operated access gate. As a result, movement to/from the general population housing units, cafeteria, prison industries, maintenance, greenhouse and multi-purpose building can be significantly delayed. Security staff should be consistently present during peak movement periods to control movement, observe activity levels and prevent extensive delays;

**Lobby.** The front lobby is the primary location where all approved foot traffic enters the facility. All individuals entering the lobby have been approved to proceed through the front gate and are subject to search. The lobby area is where the search is to be conducted. Current operating practice is to assign C-Card staff to the lobby during traditional business hours and temporarily utilize 12-hour shift personnel before and after shift change, and during peak movement hours. This practice results in a combination of daily overtime expenditures and temporarily pulling staff from existing assignments to the front lobby. The front lobby should be recognized as a 12-hour post supplemented by staff assigned to the C-Card;

**Main Control.** Main Control serves as the communication and operational hub for the facility. Primary responsibilities include operating door access control panels, distribution of security equipment, assisting in inmate counts, addressing alarm systems, observing video monitors and central communications including both radio and telephones. Current normal operations include having one FLS staff assigned to main control. During peak movement hours, based on the routine activity level at the facility, two staff should be assigned during the day shift to meet post responsibilities;

**Transportation.** Inmate transportation for addressing medical and/or court mandated issues is part of the daily operations of the facility. Most transports occur during the day shift, Monday through Friday, except for emergency transports that may occur at any time.

On the date of the review there were nine security staff assigned to the transportation unit including two lieutenants, two sergeants and five front-line staff. Normal transports include the Perry Bus operations which transports inmates four time per week to, off-site medical, clinics, court appointments and inmate transfers. Each transport requires a minimum of two certified staff that have at least one year of service. When at-risk inmates are being transported outside the facility by policy a supervisor and possibly additional staff may be required. During October 2017 a total of (309.75) hours of overtime was reported by the staff assigned to the transportation unit. To meet transport responsibilities, additional staff from both the 8-hour shift and 12-hour shift were used to assist in meeting the workload. These are staff that were initially assigned to areas such as inmate housing, contraband control or yard patrol.

Based on a review of transport data provided for the period from July 2017 through October 2017, the average workload volume requires ten dedicated staff be assigned to the transportation team. This was based on reviewing the number of transports in the reported timeframe, number of inmates, and total reported transport time. Additional front-line transport staff should be dedicated to the transport team;

**Kitchen/Dock.** PCI routinely requires supervisory personnel to assist in providing security supervision during meal periods. The cafeteria is divided into three primary sections, the dining area, serving line and kitchen. The kitchen contains a food preparation area, storage, office space and access to the loading dock. This area includes multiple blind spots, culinary tools, a high number of assigned inmates and access to outside the building, including the dock areas for the cafeteria, canteen and commissary.



Food service personnel are present in the area; however, their primary focus is on food preparation and getting the meals ready to be served. No security personnel are normally assigned to this potentially high-risk area and a post should be provided during peak periods five days per week;

**Post Relief.** In view of the available staffing levels at Perry, staff assigned to the 12-hour shifts do not normally receive a meal break during their shift. There is usually no staff available to provide such relief. State and federal regulations do not mandate employers to provide breaks; however, SCDC policy does. Under the current circumstances and based on existing staffing practices, most front-line staff are not only filling one post assignment they are routinely filling two. The value and benefits of providing short breaks to staff filling 12-hour posts should be considered. Security/Relief posts are being recommended that provide temporary relief to staff assigned to a 12-hour post; and

**Shift Relief.** A shift relief factor is not reflected in current existing staffing levels. Security personnel time-off is generally covered through assigning staff to extra hours, closing posts, redeploying staff from other designated post assignments or using staff from another facility. A shift relief factor has been applied to most post responsibilities.

#### Shift Relief Factor (SRF)

An updated shift relief factor has been developed for Perry based on data provided by personnel assigned to the Research and Information Management Division (RIM). The shift relief factor (SRF) represents the number of staff required to fill a post assignment throughout the year based on the number of hours the post needs to be filled, divided by the number of hours the average employee assigned to the post is available.

Staff attendance, off-post hours and leave-time results are inputted into a department recognized electronic data base and transferred into an automated system that can identify the shift relief factor. The SRF electronic workbooks have been set up to allow the user to specify the institution and hours per shift which will automatically recalculate the SRF accordingly.

The SRF calculation for this project is based on the following:

- All security staff (cadets – major) who were assigned to the institution during the entire year;
- A blended work schedule, including the use of both an eight-hour administrative shift (160 hours) and the straight 12's (168 hours) schedule;
- An average of the three most recent completed years that was available at the time the report was being initially prepared. This included 2015, 2016 and 2017. The purpose of evaluating data from the past three years instead of one year minimizes the chances the SRF will be influenced by one or more unusual factors or outliers.

At Perry the use of "sick-time" has increased both in 2016 and 2017. In 2017 an average of (115) hours of "sick-time" was used per employee, compared to (83) hours in 2016 and (70) hours in 2015;

- The SRF is reflective of the facility being fully staffed; and

- Most posts recommended are considered relief posts. Refer to Appendix A for the detailed formula used to determine shift relief factors and the post chart appendix to identify specific post assignments being recommended.

<b>Perry Correctional Institution Shift Relief Factors – 2018</b>			
<b>Average 2015, 2016, 2017</b>	<b>8 Hour Shift 5-days</b>	<b>8 Hour Shift 24/7-Days (160 hrs.)</b>	<b>Straight 12-Hour Shift 24/7 days (168 hrs.)</b>
<b>Institution</b>			
<b>Perry CI</b>	<b>1.30</b>	<b>5.45</b>	<b>5.03</b>

A shift relief factor of 5.03 can be translated to mean that for one year, an average of approximately five staff (5.03) will be required to fill one 24-hour post assignment when applying the straight 12-hour shift schedule (168 hours). A five-day shift relief factor for one 8-hour post assignment requires an average of 1.30 staff (160 hours) throughout the year.

### Staffing Level Recommendations

A recommended post chart has been developed to identify the number of security staff recommended to meet the current mission of the Perry Correctional Institution when fully operational. As the mission changes the staff requirement may also change.

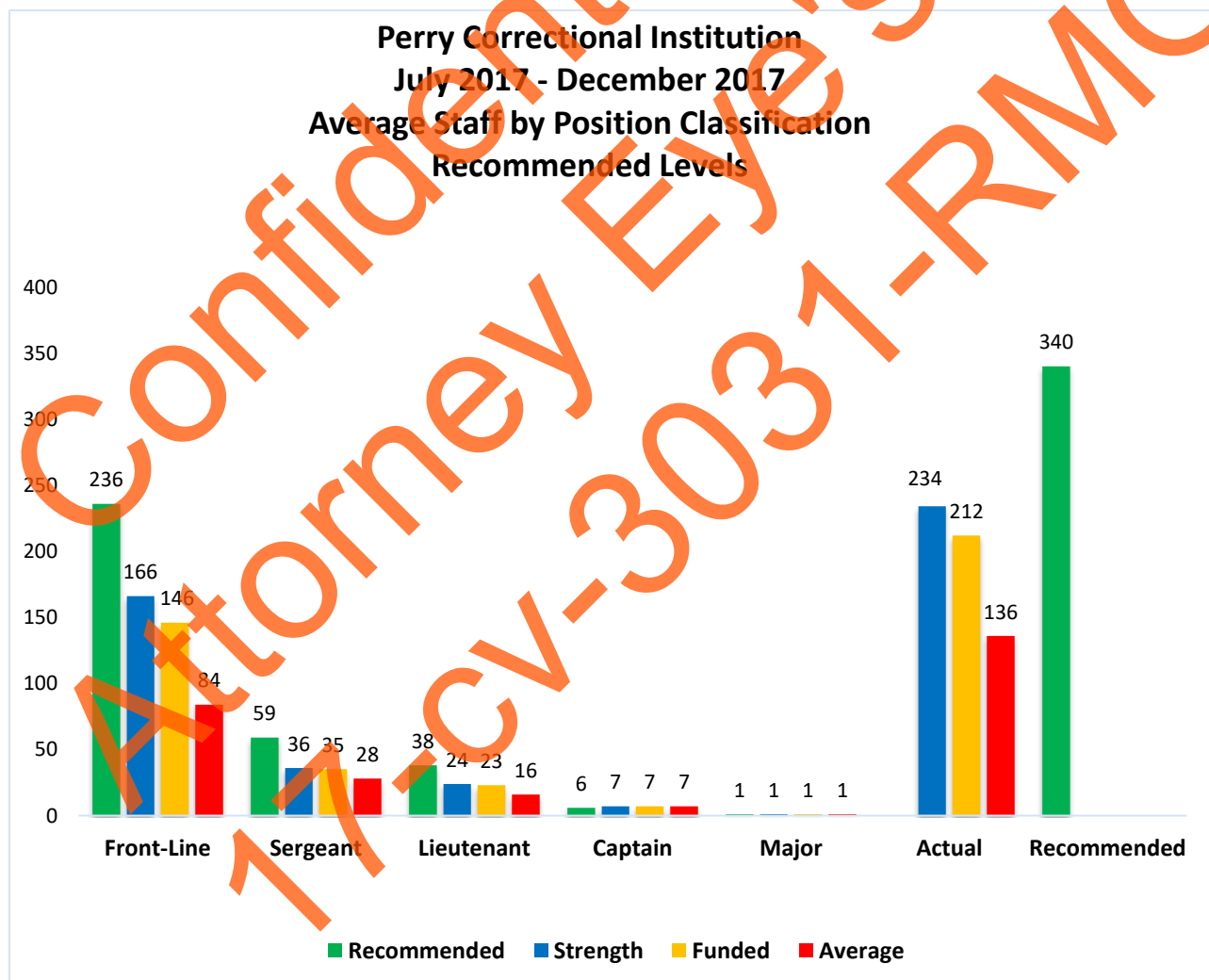
The staffing recommendation is based on applying the following:

- A blended work schedule consisting of a 12-hour work schedule (168 hours) and an 8-hour (160 hours) administrative schedule;
- A 28-day pay cycle applying Section 7(k) of the Fair Labor Standards Act (FLSA) to determine the overtime threshold;
- A shift relief factor based on the most recent available three-year average leave-time and reported authorized time unavailable to fill a post, i.e. staff training, meal break;
- The facility fully operational including staffing all existing housing, program and service areas;
- The facility continues to operate under the established policies and current mission; and
- Taking into consideration security staffing related requirements as stipulated by court orders, settlement agreements, state and federal laws.

Perry Correctional Institution Position Classification Recommendations	
<i>Position Classification</i>	<i>FTE</i>
Major	1
Captains	6
Lieutenants	38
Sergeants	59
Front-Line Staff	236
<b>Total</b>	<b>340</b>

2/2018

The recommended security staffing level for the Perry Correctional Institution is 340. The facility had been operating at 40% of the recommended level during the reporting period. A detailed listing of recommended post assignments can be found in Appendix C.



## Evans Correctional Institution

The Evans Correctional Institution (ECI) is a state operated level 2 facility located approximately 98 miles northeast of Columbia near the town of Bennettsville, South Carolina. The facility was opened in 1989 and serves as one of South Carolina's adult male medium security correctional facilities. The current operating capacity at Evans is 1,350 and the average daily population during the first nine months of 2017 was 1,317. The infirmary was not being used during the review period and had not been used for an extended period reducing the current operational capacity.

While most of Evans inmate population is considered medium custody a small percentage of inmates (approximately 8 percent) are classified as level 1B (minimum) and may be eligible to be assigned to supervised work details located outside the perimeter. Approximately 10% of the inmate population was on a mental health caseload.

In addition to providing housing and services for general population inmates ECI also provides housing and services for special programs including the Restricted Housing Unit and Character-Based Program. The Restricted Housing Unit is available for inmates requiring more intense behavioral levels of supervision and the inmates are housed and programmed separately from inmates assigned to the general population.

The Character-Based program is designed to provide housing, programming and services for qualified inmates participating in a peer-oriented life-style change program.

The physical plant at Evans was built as a medium security facility and is surrounded by a double fence reinforced with multiple rolls of razor ribbon, electronic surveillance equipment, high-mask lighting, vehicle access gate, mobile perimeter patrol, perimeter stationary posts and an alarm detection system.



Inside the perimeter are a variety of buildings, equipment and open space available to help meet existing facility responsibilities.

The physical plant contains the following: Front Gate/Vehicle Access Gate; Outer perimeter post; Administrative Services Building; Main Control; Secure Personal Property Storage; Visitation Area; Support Services Building; Medical; Maintenance; Education; Multi-Purpose; Chapel; Greenhouse; Cafeteria; Vocational Education; Canteen; Commissary; Prison Industries; Open Courtyard and seven separate housing areas, of which six were being used. Internal access control fencing, gates and limited security surveillance cameras are also available throughout the interior of the facility.

Food Services for two meals per day were normally provided to the general population inmates in the main cafeteria located in the Support Services area. During the third meal food services were reported to be provided to the inmates in their housing units because of limited staffing levels.

All authorized inmate movement was considered controlled movement. The type of movement varied based on the inmates' classification, the purpose for the movement, destination and time of day. A combination of line movement (food services), escorted, supervised and the use of passes (OTR's) was all being used.

#### Housing Unit Designs

There are four primary housing unit designs at ECI. The housing units contain secure cells as dormitory style housing is not provided at the facility. The housing unit designs are consistent with nationally recognized practices for a level 2 facility and include both direct and indirect supervision units. In total there were six separate inmate housing areas being used during the reporting period. The infirmary located in the medical unit contained ten beds and was not being used.

- General Population.** There are (4) two-tier general population housing units similar in design. The capacity of each of the housing units range from 230 to 252, depending on the number of double occupancy cells in each unit. Most of the cells are considered double occupancy; however, there are some handicap cells available. In the front center of the building is a secure indoor sally port which contains staff working areas and storage space. This area is located directly adjacent to the living areas and adjacent to the entrance of the unit. There are two separate living areas, referred to as wings that extend from the sally port. Each wing contains strictly cells and all cells have a toilet and wash basin. Showers, dayroom and passive recreation space are all located in the common area within the wing. Each housing unit has an outdoor recreation yard located immediately behind the unit.
- Character-Based Housing.** There is one indirect supervision multi-level unit that has a reported operating capacity of 254. An elevated secure control center is centrally located in the unit surrounded by security glazing providing optical clarity into four separate living areas (wings). Each wing contains primarily double occupancy cells which are equipped with beds, toilet and a wash basin. Showers, dayroom and passive recreation space is available within each living area. The housing unit known as "Cherokee" was providing housing for qualified inmates assigned to the Character-Based program.



- **Infirmary.** The infirmary at ECI has an operating capacity of ten. On the day of the site visit the infirmary was closed and staff reported that it had not been used for an extended time. The infirmary is located adjacent to the medical unit and housing is provided in single and multiple occupancy cells/rooms. A small dayroom, showers, outdoor recreation and passive recreation space is provided in the unit.
- **Restricted Housing Unit.** The Restricted Housing Unit (RHU) has a reported operating capacity of 108 and consists of two separate housing areas, referred to as A-Wing and B-Wing. Each wing contains two tiers, a small dayroom area, secure cells, storage, passive recreational space and showers. The two wings are separated by a secure control room available to provide added security, visibility into the wings, remote access control and security support. This unit is designed as a high security-controlled unit. Two of the cells were modified and considered safety cells which each contained a security surveillance camera.

### Program Services

In addition to providing a secure environment, varying degrees of program services and opportunities are available to the inmate population depending upon their individual classification and status. These program services have been integrated into the daily facility schedule to include the following: ABE/GED, Vocational Education Programs, Religious Services, Character-Based Program, Mental Health Services, Volunteer Services, Alcohol and Drug Education, Law Library, General Library, Recreation, Horticulture, Visitation, Canteen and the Prison Industry Program.

### Security Staffing Profile

On the date of the site visit (November 28, 2017) there were (119) full-time security staff positions that were filled. The approved *funding level* was (198) and the recognized *authorized strength* was (211). The approved *funding level* is the number of personnel in each position classification approved by the department to be filled. The *authorized strength* is the current recognized number of security positions identified to operate the facility safely. The *authorized strength* number is determined by the SCDC Division of Security with feedback from facility management personnel.

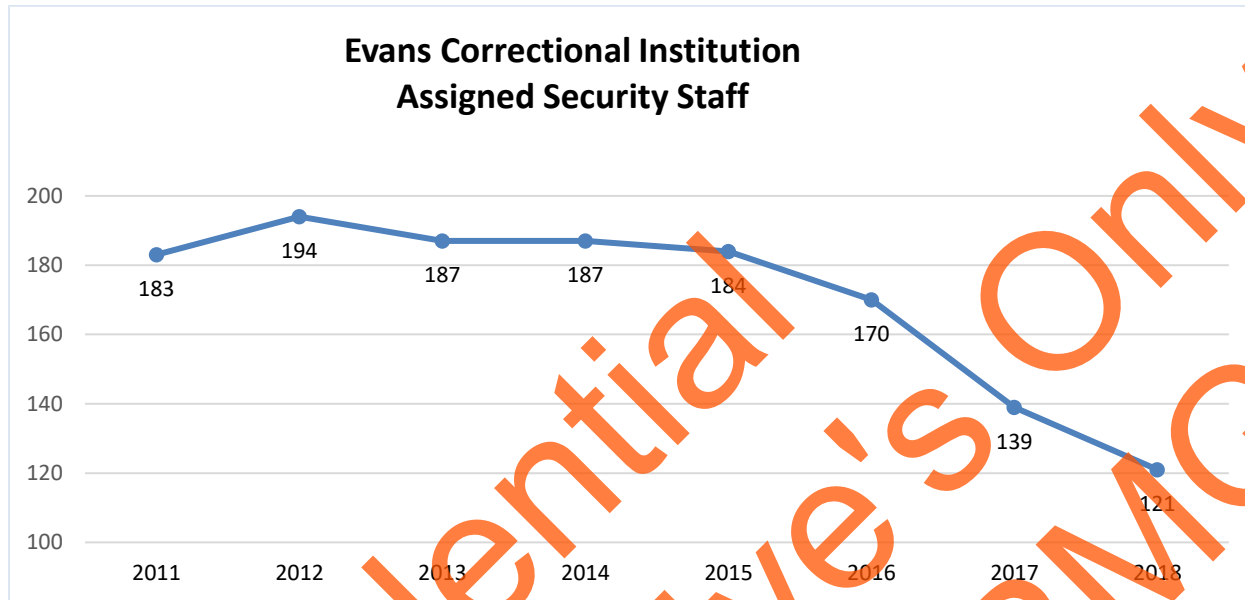
Security staffing levels have been a critical concern at Evans for an extended period. In January 2012 the security staffing level was reported as (194). The staffing level continued to be somewhat stable from 2012 to 2015 although there was a slight decrease between 2012 and 2013. During 2015 the staffing level began to significantly decline and has continued to decline throughout 2017. On January 1, 2018 the reported security staffing level was reported as (121), a 37.6% decrease in staffing from the high reported in January 2012.

The primary difference between January 2015 and January 2018 is in the number of front-line staff (FLS) assigned to the facility. During calendar year 2014 the facility averaged (131.5) FLS positions and in 2017 the average decreased to (85.2). During 2017 the facility was operating on average with (46.3) fewer FLS staff than in calendar year 2014.

The following chart identifies the **total number of security personnel** assigned to the Evans Correctional Institution on January 1<sup>st</sup> of each corresponding year.



Staff interviews and document reviews reflected there had been no indication the mission of the facility had significantly changed over the last six years or the workload responsibility has been reduced to justify the reduction. Staff reported recent additional transportation and hospital coverage concerns have further impacted workload levels.



Source: SCDC RIM

### Staff Availability

As noted the number of filled full-time security staff positions at the Evans Correctional Institution was (121) on January 1, 2018. This represents the number of staff assigned; however, does not represent the number of staff that are considered post-eligible. Based on a combination of in-house policies and staff use of benefit time, all security personnel may not always be considered available to fill all post assignments. Factors such as the following impact availability: staff being on approved extended-leave status, i.e. FMLA, Military, Medical, Assault, Workman's Compensation or Administrative; the lack of certification status preventing staff from filling post assignments on their own, FLS staff not being qualified for all assignments or in-house policies requiring at least one year of service for select post assignment. At Evans, as well as most facilities when considering these factors, the number of staff recognized on the roster available to fill post assignments is further decreased.

The following provides a snapshot on the date of the site visit of the number of staff either unavailable or not eligible to fill all post assignments.

**Extended Leave Status.** On the date of the site visit there were **ten security staff on extended leave status** that were unavailable to fill a post assignment for at least one complete 28-day pay cycle. This included (2) Captains, (4) Lieutenants, (1) Sergeant, (1) Corporal and (2) Officers. The number on extended-leave represented approximately 8% of the total assigned security staff.

A further review reflected that during the months of July to December 2017 an average of (6.2) security staff were on extended leave status on the first day of each month. These are personnel considered part of the (121) staff assigned to the facility; however, temporarily not available to fill a post assignment.

**Non-Certified Security Staff.** Human Resource personnel at Evans identified (11) FLS staff on the roster that had not fully completed basic training and as a result were not eligible to be assigned to a security post on their own.

**Experience Level.** In-house department-wide policy states that security staff with less than one year of service should not be assigned to a transportation post, the restricted housing unit or provide outside hospital coverage. On the date of the site visit there were (13) certified security staff that had less than one year of service.

To put in perspective, the following scenario is presented to show the operational impact the current number of post-eligible front-line security staff has on filling post assignments.

On January 1, 2018 there were (75) front-line staff assigned to the facility. Eleven were not certified and (3) were on extended-leave status. Non-certified staff are not considered eligible to fill a post assignment. As a result, there were (61) post eligible front-line staff assigned to the institution.

There are five general population housing units at Evans which require a minimum, **not recommended**, of (11) FLS staff, 24-hours per day. There is one restricted housing unit that requires a minimum, **not recommended**, of (3) front-line staff, 24-hours per day. When applying the updated shift relief factor which is 4.86, a total of 68.04 (14 x 4.86) front-line staff would be required to fill these posts. On January 1, 2018 there were (61) post eligible front-line staff.

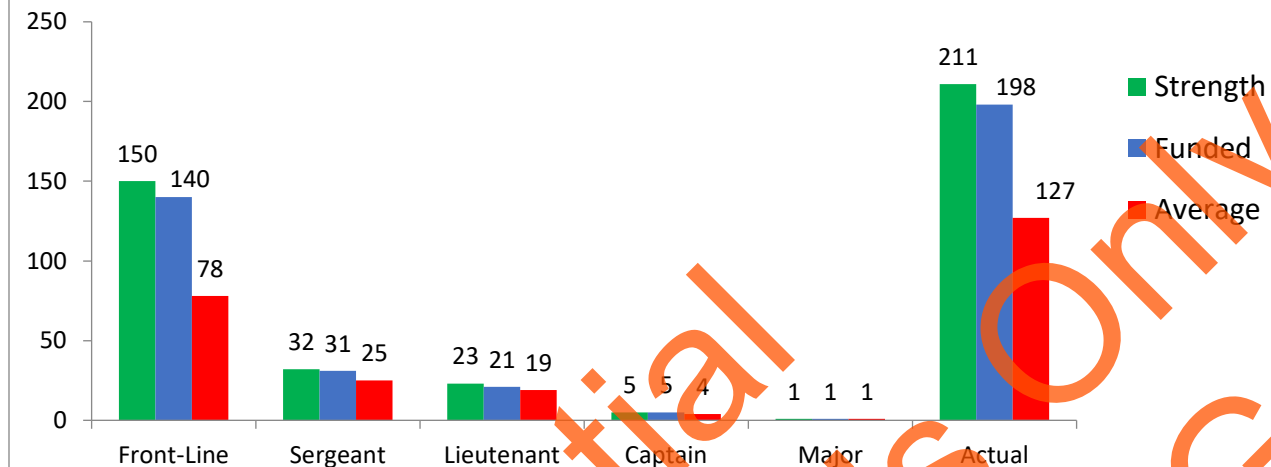
The above example does not include a provision for any escort or recreation security staff being available for inmates assigned to the Restricted Housing Unit. Also posts such as Main Control, Outer Perimeter Patrol, Transportation, Medical Unit and Front Gate which are all core posts would be required to be filled; however, there is not enough staff.

Based on current staffing levels essential posts are not consistently being filled and post areas where more than one staff member is required are routinely operating at insufficient staffing levels.

### Recent Staffing Trends

The following chart reflects during the five-month period from July 1, 2017 through December 1, 2017 the facility had been operating at a level where on average there were approximately (71) funded positions that were not being filled. These were funded positions that had been approved to be filled; however, remained vacant. In respect to the recommended *authorized strength* level the facility has been operating with an average of (84) positions unfilled during the reporting period.

### Evans Correctional Institution July 2017 - December 2017 Average Staff by Position Classification



Source: SCDC RIM

As reflected in the chart the largest number of vacancies (87.3%) was found in the front-line positions. This includes cadets, officer I/II's and corporals. These are the positions that normally have the most frequent direct contact with inmates and routinely include post assignments such as housing units, transportation, yard, inmate escorts and direct security within a specific area.

#### Operational Initiatives in Response to Staffing Levels

In view of the staffing levels facility management personnel have deviated from the original staffing plan and implemented several security initiatives to maintain minimum operations at the facility.

These initiatives routinely include the following:

- **Staff responsibilities are expanded beyond the established post order.** Each post assignment includes a written post order that describes the normal responsibilities associated with the post (OP-22.24)<sup>34</sup>. Under normal circumstances security staff are responsible for one post at a time. Staff are routinely required to be responsible for meeting both their responsibilities and responsibilities of an additional post. At Evans most staff working in the housing units and courtyard appear to be working more than one assignment at the same time. This often results in fewer inmate escorts, delays and or cancellations in program and service delivery;
- **Staff are augmented to leverage existing personnel resources.** Approximately 87.3% of the total vacancies were in the front-line staff positions, personnel outside those position classifications are frequently required to fill front-line staff post assignments.

<sup>34</sup> SCDC Policy OP.22.24 Post Orders.

Based on a review of daily shift assignment rosters sergeants, lieutenants, captains, counselors and unit managers are routinely used to meet front-line post assignments, limiting the amount of time available to supervise or perform their normal responsibilities;

- **12 Hr. Shift Supervisory personnel routinely work 14-15 hr. days.** To meet existing responsibilities, shift supervisory personnel routinely arrive prior to the start of their assigned shift, review staff availability, facility schedules, overall shift workload, manage the shift and remain after their shift is normally over to ensure effective communication and staff coverage. Lieutenants and Captains are considered exempt employees and not currently eligible for overtime;
- **The facility is placed on full or partial lockdown to limit movement outside the cell and reduce staff workload.** During the first eleven months of calendar year 2017 the facility reported they were on full or partial lockdown a total of 53 days due to staff shortages. This resulted in limited access for the inmate population to programs and services during those days;
- **Out of cell inmate activity is limited after 1:30 pm.** Inmates are often restricted to their cells around 1:30 pm for the remainder of the day to limit inmate movement;
- **The evening meal is served in the housing units.** The evening meal is normally served in the housing unit instead of escorting the inmates to the cafeteria;
- **Out of Cell recreation is not consistently offered in RHU.** Based on staff interviews and a review of available documentation inmates assigned to the Restricted Housing did not routinely receive access to recreation outside their cell during the reporting period. Due to the operational policy to have staff on-site monitoring recreational activities, recreation is not always provided to the inmates assigned to the Restricted Housing Unit;
- **Personnel are often compensated at an overtime rate to complete required staff training.** Uniformed security personnel are routinely scheduled to complete required training on their off-days often resulting in additional overtime expenditures;
- **Post Assignments go unfilled.** A review of daily shift assignment rosters from July 2017 through September 2017 reflect recommended post assignments in the housing units, interior gates, restricted housing unit wing officers, transportation, back dock, perimeter, cafeteria and yard are not always being filled;
- **Outside Medical appointments are frequently rescheduled or cancelled.** The institution medical administrator reported that approximately 40 to 50 percent of the medical appointments outside the facility must be rescheduled due to limited security staff;
- **Staff initially not scheduled to work often fill vacant post assignments at an overtime rate.** During the first eleven months of 2017 the facility had \$1,259,144 (rounded) in overtime expenditures for security personnel. During the same period for 2016 the facility had \$467,620 in overtime expenditures for security personnel. This represented a 169% increase in overtime expenditures during the two separate eleven-month periods.

Most of the increase in overtime is the result of a reduction in the number of front-line staff assigned to the facility, staff not initially scheduled to work filling vacant required post assignments, staff attending required training on their off-days and temporarily filling a post because of late reliefs;

- **Staff assigned to 8 or 12-hour shifts do not consistently receive meal breaks.** Most staff assigned to the shifts rarely receive a recognized break from their post assignment during the shift because of staffing levels. Federal (Fair Labor Standards Act) and state labor laws do not require the employer to provide a meal period or break to employees; however, SCDC policy does.

*SCDC Policy ADM-11.21 Regular Working Hours and Overtime cites in section 1.1 states: The official work schedule for security positions will be either 1.1.1 eight (8) hour shifts or 1.1.2 twelve (12) hour shifts on a 28-day cycle, including at least one 30-minute meal period each shift;*

- **Staff assigned to the 12-hour shifts are routinely scheduled to work a minimum of 168 hours in a recognized 28-day pay cycle.** Staff assigned to the 12-hour shifts are scheduled to work (168) hours with the additional 8 hours compensated at straight-time. The initial Department intent was to provide staff assigned to the 12-hour shifts, 8 hours off per pay cycle; however, this practice was no longer occurring. Staff working an 8-hour shift are initially scheduled to work (160) hours in a 28-day pay scale;
- **Staff assigned to the 8-hour shift are routinely held over after their shift to assist other shifts.** Staff assigned to the 8-hour shift are routinely held over to assist the 12-hour shift personnel in providing the evening meal and to lock-up;
- **Filling Mandatory 24-hr. post assignments intermittently.** The Division of Security has developed a post chart as a guideline to identify post assignments required to be filled and when they are to be filled. Existing operational practices frequently result in all posts not being filled and staff assigned to non-stationary posts, intermittently filling post assignments such as the yard and/or housing unit posts during peak hours; and
- **Closed Multi-Purpose Building.** The multi-purpose building is closed and not normally available for inmate use.

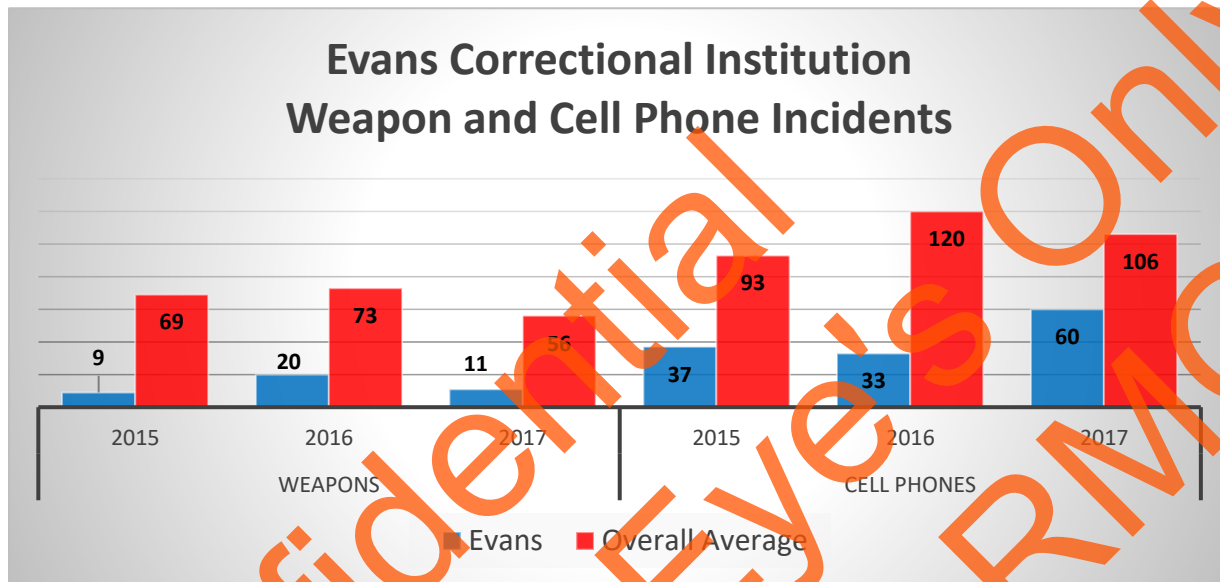
#### Demonstrated Risk Factors

**Contraband Incidents.** The introduction and presence of contraband in a correctional facility is and has always been a primary management concern when operating a facility. The type, amount and frequency of contraband recovered can tell a lot about the inmate population and the security of the facility. At Evans the number of contraband related incidents involving weapons was minimal compared to the overall average reported by other facilities. However, in March 2017 an inmate was killed at Evans resulting from stab wounds.

Contraband often leads to unauthorized movement, destruction of property, compromised staff, public trespassing and further criminal activity including violence.

In respect to cell phones, during 2017 the number of cell phones related incidents nearly doubled to (60). Second to cell phones the most prominent contraband related incidents at Evans involves tobacco.

The following chart identifies the frequency in which weapons and/or cell phone incidents were reported at Evans in comparison with the other male facilities reviewed in this project. As shown, cell phone related incidents at the facility were higher in 2017 than in 2015 and 2016 while weapon related incidents decreased.



Source: SCDC RIM

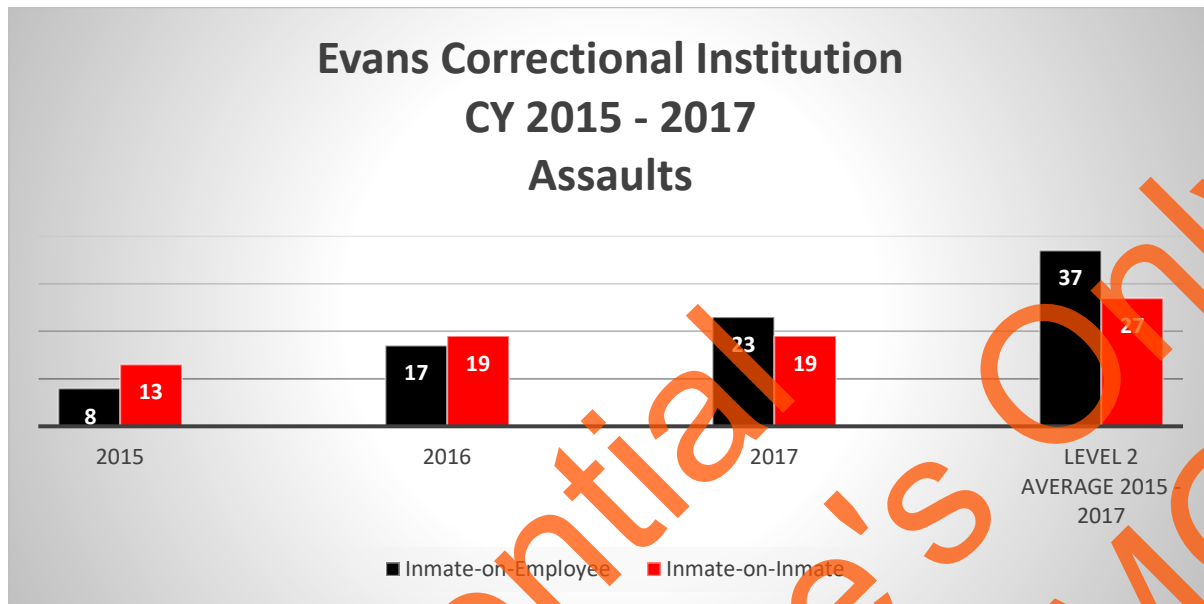
**Assaults.** A second risk factor that is often associated with staffing levels is the number of assaults that occur at a facility. The number of staff, staff training and the experience level of staff is often referenced as one of the causes of prison violence. Although there is no internal or external study that supports that theory, in most cases it should be considered a contributing factor. Having a sufficient number of well-trained knowledgeable staff assigned to appropriate locations should be goal of every facility. The conjecture is that if properly trained staff were available as identified in the recommended staffing plan, the chances of an incident resulting in an assault may not be as high. This may not always be the case; however, it should be considered a fair assumption.

It has been my experience, most inmates when contemplating committing an assault look for opportunities to carry out the act without being detected. Having between one and two staff assigned to a 250-bed housing unit which contains limited to no electronic surveillance support or having one staff member on the courtyard during movement periods creates an environment where the perceived opportunity to commit an assault can initially go undetected. This appears to be the case at Evans. There is simply not enough staff supported by available surveillance equipment, to consistently cover all the required areas and send the message to the inmate population that when involved in criminal activity the risk of being apprehended will be great.

Assaults on employees at Evans have nearly tripled since 2015 (8 vs. 23). Although it remains less than the average compared to the other level 2 facilities, any assault is one too many.



This should be considered a potential contributing factor to staff turnover rates, number of qualified applicants and whether existing staff wish to continue to be a part of this work environment.



Source: SCDC RIM

### Key Positions

**Administration.** The approved administrative core positions for the facility include a superintendent (Warden) and two assistant superintendents (Associate Warden of Operations/Associate Warden of Programs). On the date of the site visit the Warden and Associate Warden of Programs positions were filled. The Associate Warden of Operations position was not filled. The Warden was not at the facility on the date of the site visit and the major was available and considered the point of contact throughout the day. The warden was later contacted via telephone after the site visit to further discuss staffing at the facility.

**Supervisor Posts.** The highest-ranking uniformed security position is the major. On the date of the site visit the major was initially debriefed, presented support documents and provided the escort during the on-site assessment. The major is considered the Chief of Security and normally reports to the associate warden of operations. At Evans due to the absence of an associate warden of operations the major was reporting directly to the warden.

There are five funded captain positions of which four were assigned as unit managers. Two of the assigned captains were on extended sick-leave status and one was retiring within thirty days and had been unavailable because of using leave-time. This resulted in one captain being available to fill a post at the facility. This captain was serving as a unit manager. Each of the (4) 12-hour shifts are supervised by a lead lieutenant who is normally assisted by at least one additional lieutenant assigned to the shift.

The shift supervisor is responsible for overseeing shift operations, deployment of security personnel and meeting facility security needs as they arise. During the reporting period there were four vacant lieutenant positions and four lieutenants on extended leave status.

As a result, each shift was not operating at their full complement in respect to the lieutenant position. The facility has an approved funding level for (21) lieutenants of which (13) were available to fill a post assignment on the date of the site visit.

In addition to the lieutenants all the (4) 12-hour shifts have at least one sergeant available to assist in providing staff supervision. Sergeants assigned to the 12-hour shifts are primarily used to provide on-site supervision in the restricted housing unit.

The 12-hour day shift starts at 7:45 am and is scheduled to conclude at 8:00 pm. The evening shift starts at 7:45 pm and normally concludes at 8:00 am. Each shift includes an employee paid fifteen-minute shift briefing prior to proceeding to their assignment.

ECI also applies a "blended" shift schedule that includes staff being scheduled to work an 8-hour shift. Under blended scheduling the supervisor post assignments that have more variable levels of work are assigned to an 8-hour post. The 8-hour shift, known as the C-Card is supervised by the major.

At Evans the 8-hour shift supervisory post assignments primarily include the following: Shift Commander, Unit Managers, Unit Counselors, Restricted Housing Unit Supervisor, Training, Environmental Health and Safety, Contraband, Transportation, Cafeteria, Armory/Key Control, Security Threat Group, Operations, Medical, Labor Crew, Property, Operations Review and Yard. Most supervisory staff assigned to the 8-hour shift are initially scheduled to work from 8:00 am to 4:00 pm Monday through Friday; however, various starting and ending times are used to maximize coverage to best meet the needs of the facility.

In the housing units at ECI an extremely scaled down version of the unit management concept has been adopted. There are four captains serving as unit managers of which two were on extended sick-leave status and one was scheduled to retire on December 15, 2017. Management staff reported the captain scheduled to retire was using benefit time until the retirement date arrived. As a result, there was one-unit manager available for the six primary housing units.

The non-uniformed unit managers are designed to serve as the housing unit administrator and are responsible for managing activities and staff assigned to a specific housing unit. Working with the unit managers may include a non-uniformed sergeant who serves as the assistant unit manager of a housing unit and as a counselor to inmates assigned to the unit. There were (4) sergeants serving as unit counselors with one being assigned to each of the general population housing units.

Due to the limited number of security staff available to be assigned to the housing units, and the workload responsibilities associated with operating a unit, personnel assigned as a unit manager and counselor often deviate from their designed roles to fill a more traditional officer and/or sergeant role to address fundamental security operating issues.

The unit management concept is a nationally recognized best practice when sufficient personnel are available, ongoing training is provided and assigned personnel can consistently perform their responsibilities. At ECI there was one active unit manager and (4) unit counselors assigned to the six housing units. The unit management model at ECI was not being applied as designed primarily because of limited personnel resources.

In reviewing the reporting period of July 2017 to December 2017 on average approximately 27% of the filled security positions were considered supervisory positions. The approved funding level for security supervisors at ECI allowed for (58) positions of which (49) were filled on the day of the site assessment.

Front-Line Security Posts. For this study, front-line security staff positions include cadets, correctional officer I's and corporals. Cadets are those uniformed individuals that are 18 to 20 years of age, have not received all the firearms training required of an officer and are limited in where they can be assigned. On the date of the site visit there were no cadets reported as being assigned to Evans. Correctional Officer I/II's are the traditional front-line security staff member age 21 and over and once certified may normally be assigned to any front-line post assignment. Corporals are non-supervisory lead officers normally with a minimum of 18 months experience that may be assigned to any front-line staff post within the facility. Individuals in these positions normally serve as the lead employee when two or more front-line staff are working together. For the most part based on current practice and because of existing staffing levels the officer I/II's and corporals are frequently interchangeable when considering post assignments.

A review of FLS staffing levels reflected that of the front-line security staff assigned approximately 33% had been at the facility for less than one year. This included both certified and non-certified FLS personnel. Security personnel with less than one year of service are limited in where they can be assigned and are normally not allowed to be assigned to transportation post assignments, the restricted housing unit or provide hospital coverage.

Key post assignments where front-line security staff are assigned include: Front Gate, Main Control, Perimeter Patrol, Transportation, Medical, Disciplinary Hearing Officer, Operations, Personal Property, Education/Library, DHO Recorder, Utility, Back Gate, Contraband, Horticulture, Grounds Maintenance, Prison Industries, Cafeteria, Housing Units and the Restricted Housing Unit. Some of these post assignments are required to be filled 24-hours per day, seven days per week, while others may be required to be filled for 12-hours, 10-hours, 8-hours or less per day ranging between two and seven days per week. Shift schedules are designed to allow for the concentration of security staffing levels to be available at times when the workload and activity levels in a specific area are generally higher.

### **Roster Management**

Roster management and staff scheduling at ECI are considered essential elements in the daily operation of the facility. In-house roster management for security positions are performed primarily by the major in concert with the shift commanders.

A post chart has been developed by the *Division of Security* as required by policy to identify recommended staffing levels and to guide facility personnel on where and when to fill identified post assignments. In addition, minimum staffing levels have been established for the 12-hour day and evening shifts. At Evans the 12-hour minimum staffing level established by the *Division of Security* for the day shift was (28) and for the evening shift was (23) during the review period.

A review of sample completed daily rosters reflected the facility never met the minimum established standards. On the date of the on-site assessment there were (19) total staff assigned to D-1, (16) assigned to D-2, (19) assigned to E-1 and (14) assigned to E-2. None of the shifts were staffed at a level within 30% of the minimum level identified.

Shift Assignments. Facility management personnel at ECI have developed a master shift assignment roster for security staff that identifies the names of the personnel assigned to each shift, their position classification, gender and status. The C-Card roster also identified the employee's normal post assignment.

At Evans all security staff, except for those assigned to Prison Industries are normally scheduled to work either a 12-hour shift with rotating days-off or an eight-hour shift Monday through Friday. Security personnel normally assigned to Prison Industries are scheduled to work four consecutive ten-hour days with three days-off to be consistent with program operations.

A review of the November 2017 master shift assignment roster reflected both front-line and supervisory staff were consistently assigned to all the shifts. Each shift had at least two lieutenants and one sergeant. On the D-2 shift and E-2 shift which are alternating evening shifts there was one sergeant assigned to each shift. The two-day shifts had at least two sergeants.

In reviewing the number of front-line staff assigned to each of the (4) 12-hour shifts the following breakdown is provided:

- D1 Shift. This is a 12-hour day shift that is normally scheduled to work from 6:45 am to 7:00 pm. There were (14) front-line positions filled. The recommended number of FLS staff is (43);
- E1 Shift. This is the alternating 12-hour day shift where staff are scheduled to work from 6:45 am to 7:00 pm when the D1 Shift staff is scheduled off. There were (13) front-line staff positions filled. The recommended number of FLS posts to be filled is (43);
- D2 Shift. This is a 12-hour night shift that is normally scheduled to work from 6:45 pm to 7:00 am. There were (11) front-line staff positions filled and one of the officers was on extended leave status unavailable to fill a post assignment. The recommended number of FLS posts to be filled is (26); and
- E2 Shift. This is the alternating 12-hour night shift where staff are scheduled to work from 6:45 pm to 7:00 am when the D2 Shift is scheduled off. There were (10) front-line positions filled. The recommended number of FLS posts to be filled is (26).

Daily Shift Roster. In addition to the master shift assignment roster daily shift rosters are also maintained for the 12-hour shifts. The daily rosters identify in more detail the staff assigned by shift, their post assignment, staff on leave and responders. The daily shift rosters are designed to identify how scheduled personnel are utilized and provide a best practice tool for documenting staff accountability. Based on a review of sample daily post assignment rosters there is no recapitulation data provided or any consistent reference to staff scheduled as working overtime. Identifying where all scheduled staff are assigned and having a recapitulation table is critical when documenting identifying staff utilization.

The C-Card maintains an automated daily shift roster that identifies the post number, code, post description, area, post type, responder, name of the employee, gender and if applicable leave status. Staff reported a manual daily shift assignment roster was not normally being completed for the C-Card. As a result, there is no reference to post classification levels or a recapitulation table for the C-Card shift.

Post Classification. By memorandum from the *Division of Security*, post assignments should be classified as either, Pull Post Level I, Level II, or Level III (mandatory) to assist shift supervisors when determining which posts can be temporarily collapsed or closed due to staff shortages, emergencies, overtime reduction efforts or other reasons deemed necessary by the shift commander or facility management. The classification of post assignments is designed to ensure certain posts are shut down first. Due to limited staffing levels, only critical posts appeared to be filled.

The discrepancy between the operational practice and the filling of recommended mandatory posts was primarily in the number of posts being filled when more than one post was identified in the post chart.

For example, in the post chart the outer perimeter patrol post is identified as two posts to be filled on a 24/7 basis. Based on staff interviews and a review of completed daily shift rosters one post is normally filled and when additional staff are available the second post is filled. In reviewing approximately 30 sample rosters, 60% of the time there were two outer perimeter posts filled on the evening shift. Additional discrepancies between the operational practice and recommended level III (mandatory) posts include the following:

- Yard Officer 4/1: On the day shift the post chart recommends (4) staff be assigned to the yard seven days per week to control inmate movement in the courtyard. Staff reported available security staff are routinely used; however, rarely is there more than two staff available. A review of daily rosters identified between zero and two dedicated staff were assigned to the Yard detail;
- Housing Unit (9/8): On the day shift the post chart recommended a total of (9) front-line staff and during the evening shift (8) front-line staff be assigned to the four general population housing units seven days per week. In reviewing sample daily rosters, there was not one occasion where nine or more front-line staff were reported as being assigned to the four general population housing units during the day shift or eight or more being assigned to the evening shift; and
- Restricted Housing Unit Wing (4/3): The post chart recommends four front-line staff be assigned seven days per week during the day shift and three front-line staff during the evening shift. Current normal operating practice includes between one or two front-line wing officers during the day shift and no more than one wing officer during the evening shift. Facility management staff reported recreation and showers were not always being provided based on the established schedule due to limited staffing levels.

At Evans the basic elements of a roster management system including the identification of post assignments, balanced shift scheduling and daily shift roster development are all in place. Due to the lack of available staffing the ability to fill required post assignments is dramatically impacting daily operations.

The primary concerns with the system include the following:

- The post chart identifies mandatory posts that need to be filled and are not routinely filled. The current operating practice when insufficient staff are available, is to contact qualified staff currently assigned or on their off-day to determine their interest in working additional hours. Based on the number of staff that is interested the shift proceeds to operate in a modified manner. Most often this results in mandatory posts going unfilled;



- The recommended minimum staffing levels for each 12-hour shift needs to be reviewed and updated on a regular basis. Daily shift rosters reflected minimum staffing levels were not being met on a consistent basis due to available staffing. Monthly in-house reviews should be completed to determine the effectiveness of the system and to confirm or re-establish minimum staffing levels; and
- Daily shift rosters need to be updated to reflect how all staff assigned to the shift are utilized. The daily roster should identify the names of all staff assigned to the shift, the approved post assignments, the post classification, post closures and the employee assigned to each post. Staff assigned to posts for less than a full shift, detailed to a special assignment, working overtime or using benefit time should be clearly identified on the daily roster.

### Staffing Recommendations

The most significant concerns expressed by facility personnel during the on-site assessment involved the impact available staffing levels were having on the operations of the facility.

Staff reported the lack of sufficient personnel resources available to meet established workload responsibilities was negatively impacting the ability to effectively maintain the mission of the facility. Specifically, staff mentioned a concern for their safety, overall work conditions and availability of additional security equipment, including perimeter netting, inner perimeter razor ribbon, surveillance cameras and lighting.

### Post Assignment Enhancements

**Court Yard.** The Evans Correctional Institution is a campus-style facility with four primary housing units, programs and service areas surrounding a large courtyard. To get from the housing units to most program activities and services, inmates are required to walk through the courtyard which includes interior fencing and gates. The gates were locked on the day of the site visit and the interior fence lines were approximately 12 feet high. All authorized movement at this medium-security facility is considered controlled movement.

It is essential and a fundamentally sound correctional practice that security staff be present to monitor, control access and authorize inmate movement. Based on the size of the facility and location of work, program and service areas in relation to the housing units, dedicated yard security personnel should be consistently assigned to the courtyard to control access, monitor existing activity levels, serve as responders and provide internal roving physical plant security. The post recommendations expand the number of yard posts to be made available on all shifts;

**Post Relief.** In view of the available staffing levels at Evans, staff assigned to the 12-hour shifts do not normally receive a rest or meal break during their shift. There is usually no staff available to provide such relief. State and federal regulations do not mandate employers to provide breaks; however, SCDC policy does. Under the current circumstances and based on existing staffing practices most front-line staff are not only filling one post assignment they are routinely filling two. The value and benefits of providing short breaks to staff filling 12-hour posts should be seriously considered. The post recommendation includes establishing "Security Relief" posts that provide temporary relief to staff assigned to post assignments;



**Shift Relief.** A shift relief factor is not reflected in current staffing levels. Acknowledging the relief component, and posts still need to be staffed when personnel are off is critical to establishing safe operations. When personnel use benefit-time, the vacancy, if covered, is through assigning staff to work additional hours, redeploying staff from other designated post assignments or using personnel from other position classifications or other facilities;

**Kitchen/Dock.** ECI routinely requires supervisory personnel to assist in providing security supervision during meal periods and relies on food service personnel to assist in providing on-site security. The cafeteria is divided into three primary sections, the dining area, serving line and kitchen. The kitchen contains a food preparation area, storage, office space and access to the loading dock. This area includes multiple blind spots, culinary tools, a high number of assigned inmates and access to outside the building including the dock area for the cafeteria. Food service personnel are present in the area; however, their primary focus is on food preparation and getting the meals ready to be served. No security personnel are normally assigned to the kitchen/dock area which should be considered a critical post and high-risk area during operating hours. The post recommendation includes establishing "Kitchen/Dock" posts five days per week on two eight-hour shifts;

**Housing Units.** The general population housing units when fully operational each have an operating capacity of 252. Approximately 92% of the inmates housed at Evans are considered level II medium security inmates. The inmates are housed in one of two wings located within each unit. Each wing is separated by a common sally port that contains a secure entry/exit to the building, officer work space and entry into each wing. Visibility from the sally port area into each wing is limited.

Actual staffing levels vary by shift, day and the availability of supervisory staff and unit management personnel. Based on the everyday responsibilities of an officer, and the activity levels of each unit, the practice of having one or two officers assigned to provide security, custody and control of over 250 medium inmates during the day shift is inconsistent with realistic expectations of what an officer can accomplish. Relying on supervisory staff to assist, impacts the ability of the supervisor to meet their position responsibilities. As a result, effective supervision in the housing units is not consistently being provided at this facility.

A minimum of (3) FLS staff are being recommended on the day shift and (2) on the night shift seven days per week in the (4) two-tier general population housing units that are similar in design. Additional housing unit staff can be found in the recommended post chart located in the appendix.

**Transportation.** On average MCI is responsible for providing three medical runs five days per week, Monday through Friday, between one and two court runs 2-3 days per week and hospital coverage in Florence. Based on policy a minimum of two staff are required for all transports of level II and III inmates. Current staffing practice is for two dedicated staff to be assigned to transportation and provide hospital coverage.

The medical administrator was contacted and reported that approximately 40 to 50 percent of the medical appointments outside the facility must be rescheduled due to limited security staff. Based on reported existing workload levels, additional five-day transportation/hospital coverage posts should be formally recognized at ECI; and

**Restricted Housing Unit.** The Restricted Housing Unit (RHU) has an operating capacity of 101 and consists of two separate housing areas, referred to as A-Wing and B-Wing. Each wing contains two tiers, surveillance cameras, a small dayroom area, secure cells, recreational space and showers. Some cells have a single entrance door and others have a double door entrance. The cells with a double door have a secure vestibule located between each door. The two wings are separated by a secure control room available to provide added security, visibility into the wings, remote access control and security support.

The control room is required to be staffed on a 24-hour basis. In-house policy requires assigned staff to conduct 30-minute security checks, escort medical personnel on the wing, deliver mail as necessary, deliver meals, conduct inmate counts, escort inmates to the shower, visitation and recreation area and conduct building security checks. For inmates to be escorted out of their cell, a minimum of two staff are required to be present. All these responsibilities require additional security personnel other than the officer assigned to the control room. Appropriate staffing levels should be provided to meet responsibilities consistent with policy. The post recommendation includes establishing (1) 24/7 control room officer; (2) five-day 8-hour RHU recreation/support officers; (2) five-day 8-hour inmate escort officers; (4) seven-day 12-hour day shift officers; (2) seven-day night shift officers; (1) 24/7 sergeant and a 12-hour seven-day Lieutenant post.

### **Shift Relief Factor (SRF)**

An updated shift relief factor has been developed for Evans based on data provided by personnel assigned to the Research and Information Management Division (RIM). The shift relief factor (SRF) represents the number of staff required to fill a post assignment throughout the year based on the post hour requirements divided by the number of hours that the average employee assigned to the post is available. The SRF provides a reference as to how many FTE are required to meet post responsibilities.

Staff attendance, off-post hours and leave-time results are inputted into a department recognized electronic data base and transferred into an automated system that can identify the shift relief factor. The SRF electronic workbooks have been set up to allow the user to specify the institution and hours per shift which will automatically recalculate the SRF accordingly.

The SRF calculation for this project is based on the following:

- All security staff (cadets – major) who were assigned to the institution during the entire year;
- A blended work schedule, including the use of both an eight-hour administrative shift (160 hours) and the straight 12's (168 hours) schedule;
- An average of the three most recent completed years that was available at the time the report was being initially prepared. This included 2015, 2016 and 2017;
- The purpose of evaluating data from the past three years instead of one year, minimizes the chances the SRF will be influenced by one or more unusual factors or outliers.

At Evans the use of "other-time" increased significantly in 2016 and 2017. Other-time includes time off resulting from injury on the job, military leave, FLMA, bereavement, unexcused absences, disciplinary, special assignments, etc.

The average full-term security staff member used (67) hours of “other-time” in 2017. In 2016, an average of (52) hours was used and in 2015 an average of (15) hours were used. Based on the data reported, the number of hours off due to “other-time” has more than tripled in the past two years. The average for all the other facilities in 2017 was (25.5);

- The SRF is reflective of the facility being fully staffed; and
- Most posts recommended are considered relief posts. Refer to Appendix A for the detailed formula used to determine shift relief factors and the post chart appendix to identify specific post assignments being recommended.

<b>Evans Shift Relief Factors – 2018</b>			
<b>Average 2015, 2016, 2017</b>	<b>8 Hour Shift 5-days</b>	<b>8 Hour Shift 24/7 Days (160 hrs.)</b>	<b>Straight 12-Hour Shift 24/7 days (168 hrs.)</b>
<b>Institution</b>			
<b>Evans CI</b>	<b>1.27</b>	<b>5.33</b>	<b>4.92</b>

A shift relief factor of 4.92 can be translated to mean that for one year, an average of slightly less than 5 (4.92) staff will be required to fill one 24-hour post assignment when applying the straight 12-hour shift schedule (168 hours). A five-day shift relief factor to fill an 8-hour post assignment requires on average 1.27 staff throughout the year.

### **Number of Staff Recommended**

A recommended post chart has been developed to identify the number of security staff recommended to meet the current mission of the Evans Correctional Institution when fully operational. As the mission changes, the staff requirement may also change.

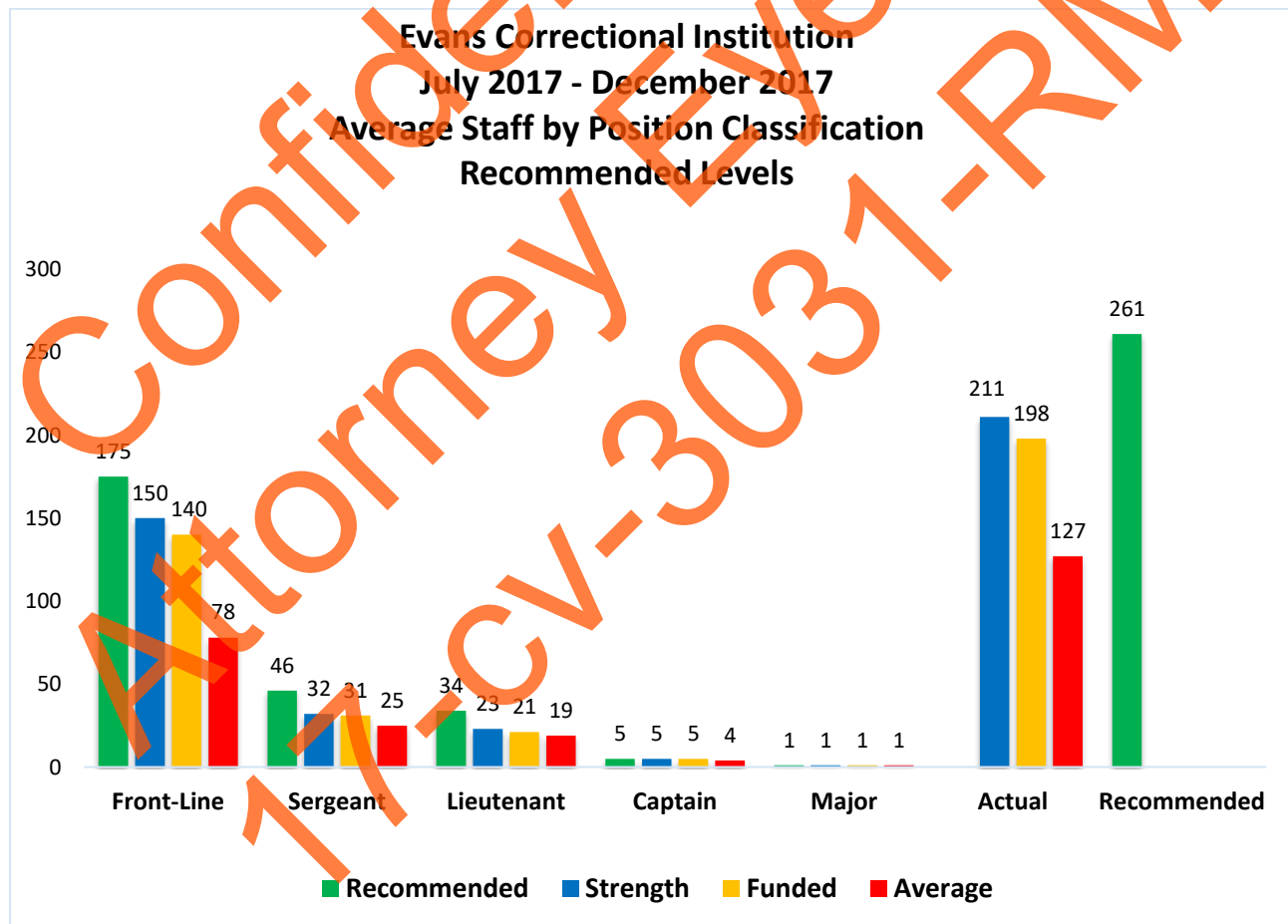
The staffing recommendation is based on applying the following:

- A blended work schedule consisting of a 12-hour work schedule (168 hours) and an 8-hour (160 hours) administrative schedule;
- A 28-day pay cycle applying Section 7(k) of the Fair Labor Standards Act (FLSA) to determine the overtime threshold;
- A shift relief factor based on the most recent available three-year average leave-time and reported authorized time unavailable to fill a post, i.e. staff training, meal break;
- The facility fully operational including staffing all existing housing, program and service areas;
- The facility continuing to operate under the established policies and mission at the time of the review; and

- Taking into consideration security staffing related requirements as stipulated by national standards, court orders, settlement agreements, state and federal laws.

<b>Evans Correctional Institution Security Staffing Recommendation</b>	
<i>Position Classification</i>	<i>FTE</i>
Major	1
Captains	5
Lieutenants	34
Sergeants	46
Front-Line Staff	175
<b>Total</b>	<b>261</b>

The recommended security staffing level for the Evans Correctional Institution is 261. The facility had been operating at 49.2% of the recommended level during the above reporting period. A detailed listing of recommended post assignments can be found in the appendix.



## **Kershaw Correctional Institution**

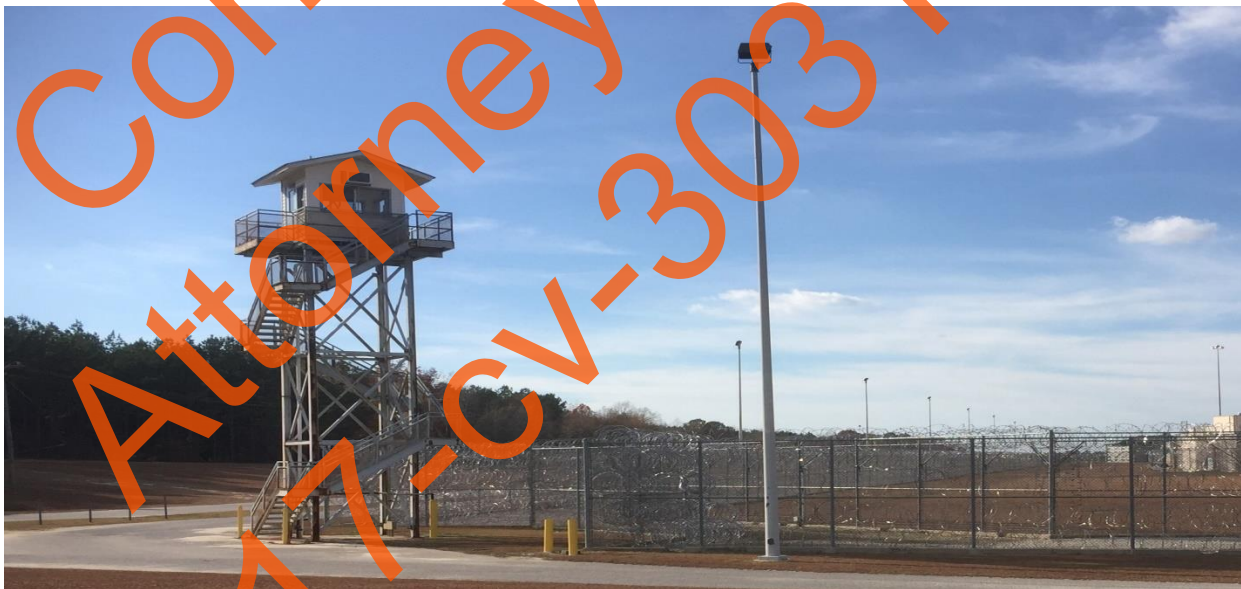
The Kershaw Correctional Institution (KCI) is a state operated level 2 facility located approximately 60 miles northeast of Columbia in the town of Kershaw, South Carolina. The facility was opened in 1997 and serves as one of South Carolina's adult male medium security correctional facilities. The current operating capacity at Kershaw is 1,365 and the average daily population the last six months of 2017 was 1,305.

While most of Kershaw's inmate population is considered medium custody a small percentage of inmates (approximately 7 percent) are classified as level 1B (minimum) and assigned to various work details including details located outside the perimeter. At the time of the site assessment approximately 16% of the population was on a mental health caseload.

In addition to providing housing and services for general population inmates Kershaw also provides housing and services for special programs including the Restricted Housing Unit and the Character-Based Program. The Restricted Housing Unit is available to house inmates requiring more intense behavioral levels of supervision. The inmates are housed and programmed separately from the general population.

The Character-Based program is a residential program available for qualified inmates interested in participating in a pro-social and personal development program. In this peer-to-peer accountability program inmates are eligible for work assignments and are housed separately from the rest of the general population.

The physical plant at Kershaw was built as a medium security facility and is surrounded by a double fence reinforced with multiple rolls of razor ribbon, electronic surveillance equipment, sensors, lighting, vehicle access gate, mobile perimeter patrol, perimeter towers and an alarm detection system.





Inside the perimeter there are a variety of buildings, equipment and open space available to help meet existing facility responsibilities. **The facility is primarily divided into two separate courtyards with a common support building and internal fencing located in between each yard.** There are two separate dining halls one for each side, separate canteens, separate pill-line windows and separate commissaries.

The physical plant also contains the following: Front Gate/Vehicle Access Gate; Administrative Services Building; Main Control; Secure Personal Property Storage; Visitation Area; Medical; Maintenance; Multi-Purpose; Cafeteria; Vocational Education; Horticulture; Prison Industries; Back Gate and six separate housing areas. Internal movement control fencing, gates and security surveillance cameras are available throughout the interior of the facility.

Food Services are normally provided to the general population in the main cafeteria which is in the Support Services area. Each side has a separate serving line and dining hall extended off one main kitchen. The warden reported that two meals per day were being provided to the inmates in the housing units instead of the dining hall due to limited staffing available to provide escort and line movement supervision.

All inmate movement was considered controlled movement and the type of movement varied based on the inmates' classification, the purpose for the movement, destination and time of day. A combination of line movement (food services), escorted, supervised and the use of passes (OTR's) was all being used.

### Program Services

In addition to providing a secure environment, varying degrees of program services and opportunities are available to the inmate population depending upon their individual classification and status. The program services have been integrated into the daily facility schedule to include the following: ABE/GED, Vocational Education Programs, Religious Services, Character-Based Program, SPICE program, Volunteer Services, Alcohol and Drug Education, Law Library, General Library, Recreation, Horticulture, Visitation, Canteen, Commissary and the Prison Industry Program.

### Housing Unit Designs

There are three primary housing unit designs available at KCI. All the housing units contain cells as dormitory style housing is not available at this facility. The housing unit designs are consistent with nationally recognized practices for a level 2 facility and include both direct and indirect supervision units. In total there are six housing units at KCI.

- **Direct Supervision Units.** Four of the housing units are considered direct supervision units. Officer work stations are located both within the living area as well as outside the living area immediately adjacent to the inmate living space. The units were designed to have officers assigned in the living area. Each unit contains two wings and secure double occupancy cells located on both the ground floor and mezzanine level. All cells contain a wash basin and toilet. In addition to a dayroom, an open officer work station, group program space, showers, telephones and passive recreational opportunities are available in each wing. In total, the operating capacity of each unit is (256).
- **Indirect Supervision Unit.** There is one multi-level indirect supervision housing unit that has a reported operating capacity of (254).



An elevated secure control center is centrally located in the unit surrounded by security glazing and four separate living areas (wings). Staff assigned to the control room can view the activity into all four wings and remotely operate the secure doors in the wings. Each wing contains double occupancy cells which are equipped with beds, toilet and a wash basin. Showers, telephones, dayroom and passive recreation space are available in the dayroom and an adjacent outdoor recreation yard is provided.

The cell doors in all four of the wings are considered “sliding doors” instead of “swing doors”. Sliding doors are designed to slide open/close instead of swing out from the opening of the cell. Staff assigned to the unit reported that on occasion some of the cells doors in the unit would not always secure. Three of the wings had an operating capacity of (64) and one had an operating capacity of (62).

- Restricted Housing Unit.** The Restricted Housing Unit consists of one multi-level unit containing two housing wings and a secure control room located in between each wing. Personnel assigned to the control room are responsible for providing back-up support to the wing officers, distributing security equipment, maintaining communications using a video monitor, two-way radio and telephone, and activating an electronic door access control panel that operates the security doors within the unit. The living areas contain secure cells including (2) safety cells. All cells have a toilet and wash basin. Showers are located on each wing and outdoor recreation space is available in a secure area located adjacent to the unit. The reported capacity of the unit is (96).



## Security Staffing Profile

On the date of the site visit (*November 30, 2017*), there were (149) full-time security staff positions filled. The approved *funding level* on December 1, 2017 was (210) and the recognized *authorized strength* was (228). The approved *funding level* is the number of personnel in each position classification approved by the department to be filled. The *authorized strength* is the current recognized number of security positions identified to operate the facility safely. The *authorized strength* number is determined by the SCDC *Division of Security*.

Security staffing levels have been a critical concern at Kershaw for an extended period. In January 2011 the security staffing level was reported as (215) or approximately 95% of the recognized authorized strength. This was the high point for the seven-year period from January 2011 to January 2018. On January 1, 2018 the reported security staffing level was (152), a 29.3% decrease from January 2011. As shown in the chart below there had been a continuous decline in all but one year (2013) in the number of filled security positions at KCI.

The figures below identify the total number of filled security positions reported on January 1st of each year.



Source: SCDC RIM

The primary difference in the security staffing levels is in the number of front-line positions filled, which includes cadets, correctional officer I/II's and corporals. A significant decrease in front-line security (FLS) staffing levels began in 2013 and had continued to decline through all of 2017. The **average number of filled FLS staff positions** for each year since 2013 was the following:

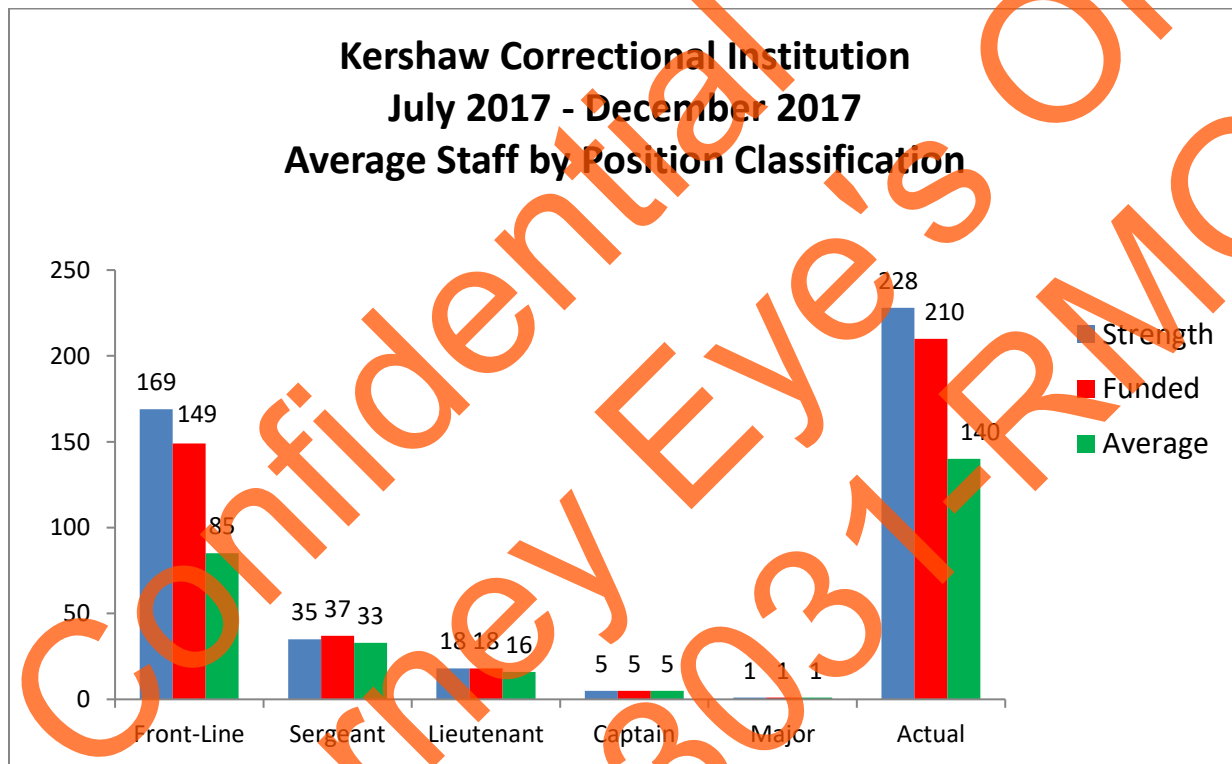
- **2013:** 145.25; **2014:** 131.5; **2015:** 108.3; **2016:** 105; **2017:** 89.4.

In 2017, the facility was operating with 38.5% fewer FLS staff than were available in 2013. There was no indication, staff workloads have significantly changed during the past five years to justify the decline.

As noted, KCI is operating at extremely deficient levels when compared with both the department recommended and approved funding levels.

### Recent Staffing Trends

The following chart depicts the average staffing levels for the period of July 1, 2017 to December 1, 2017. The facility has been operating at a level where on average there were approximately (70) funded positions that were not being filled. These were funded positions that had been approved to be filled; however, remained vacant. In respect to the department recommended *authorized strength* level the facility has been operating with an average of (88) positions unfilled.



Source: SCDC RIM

As noted, the largest number of vacancies (91.4%) were found in the front-line positions. The approved funding level for FLS staff at KCI allowed for (149) positions of which on average (85) were filled. As a result, all mandatory front line post assignments are not consistently being filled. These are positions that normally have the most frequent direct contact with inmates and routinely include post assignments such as housing units, transportation, yard, inmate escorts and direct security within a specific area.

In addition to the already deficient staffing levels, there were nine staff on extended leave status on the day of the site assessment that were unavailable to fill a post assignment, which further reduced the number of staff available.

During the five-month period, July – December 2017, an average of 4.3 security staff were reported to be on extended leave status on the first day of each month. In addition, there were ten staff assigned to the facility that were pending completion of basic training and not considered certified. Department policy requires staff to be certified to fill a post assignment on their own. This further reduced the number of post eligible staff at the facility.

### Operational Initiatives in Response to Staffing Levels

Based on staffing levels, facility management personnel have deviated from the original staffing plan and implemented several security initiatives to maintain minimum operations at the facility.

The initiatives routinely include the following:

- **Staff responsibilities are expanded beyond the established post order.** Each post assignment includes a written post order that describes the normal responsibilities associated with the post (OP-22.24)<sup>35</sup>. Under normal circumstances security staff are responsible for one post at a time. Staff are routinely required to be responsible for meeting both their assigned responsibilities and responsibilities of an additional post. This often results in fewer and less thorough pat-down searches, fewer building inspections, limited inmate escorts, delays and or cancellations in program and service delivery;
- **Staff are augmented to leverage existing personnel resources.** Since 91.4% of the vacancies were in the front-line staff positions, personnel outside those position classifications frequently are required to fill front-line staff post assignments. Based on a review of daily shift assignment rosters sergeants, lieutenants, captains, counselors and unit managers are routinely used to meet front-line post assignments, limiting the amount of time available to supervise or perform their normal responsibilities;
- **Meals served in Housing Units.** The controlled movement operating schedule for the facility has been modified to serve two meals in the housing units per day instead of moving the inmates to the dining halls for meals;
- **12 hr. Shift Supervisory personnel routinely work 14-15 hr. days.** To meet existing responsibilities, shift supervisory personnel routinely arrive prior to the start of their assigned shift, review staff availability, facility schedules, shift workload, manage the shift and remain after their shift is normally over to ensure effective communication and staff coverage. Lieutenants and captains are not eligible for overtime compensation;
- **The facility is placed on full or partial lockdown to limit movement outside the cell and reduce staff workload.** The first eleven months of calendar year 2017 the facility reported they were on full or partial lockdown a total of 351<sup>36</sup> days. This resulted in limited access for the inmate population to programs and services;

<sup>35</sup> SCDC Policy OP.22.24 Post Orders.

<sup>36</sup> SCDC Operations. December 2017 Lockdown Statistics.



- **Out of cell inmate activity is limited after 3:00 pm.** Inmates assigned to general population units are often restricted to their cells at 3:00 pm to limit inmate movement and reduce staff workload responsibilities;
- **Personnel are often compensated at an overtime rate to complete required staff training.** Uniformed security personnel are routinely scheduled to complete required training on their off-days resulting in additional overtime expenditures;
- **Post Assignments go unfilled.** A review of daily shift assignment rosters from July 2017 through November 2017 reflect all recommended mandatory post assignments in the housing units, restricted housing unit wing officers, plaza gate, back gate, cafeteria and yard are not always being filled;
- **Staff initially not scheduled to work fill vacant post assignments beyond their normal work schedule.** The first eleven months of 2017 the facility had \$507,888 (rounded) in overtime expenditures for security personnel. The same period in 2016 the facility had \$224,950 in overtime expenditures for security personnel. This represented a 126% increase in expenditures. Most of the increase is the result of a reduction in the number of front-line staff assigned to the facility (**averaged 105 in 2016 v. 89 in 2017**), staff not initially scheduled to work filling vacant required post assignments, staff attending required training on their off-days and temporarily filling a post assignment after their shift because of late reliefs;
- **Inmate services are limited in the Restricted Housing Unit.** Based on an interview with the unit manager for the Restricted Housing Unit showers and recreation for inmates assigned to the Restricted Housing Unit are not consistently provided. Staff reports reflect access to recreation is normally not being provided on a weekly basis;
- **Filling Mandatory 24-hr. post assignments intermittently.** The Division of Security has developed a post chart as a guideline to identify post assignments required to be filled and when they are to be filled. Existing operational practices frequently result in all posts not being filled, and staff assigned to non-stationary posts, intermittently filling posts such as the yard, plaza gate, back gate and/or housing unit posts only in peak hours;
- **A "Tier Management" Schedule has been developed to limit inmate movement.** Tier Management is implemented at the facility limiting the number of inmates out of their cell when normally they would be allowed out of their cells. This results in half the housing wing being out of their cells (Upper Tier or Lower Tier), instead of having all the inmates assigned to the wing;
- **Staff assigned to the 12-hour shifts are routinely scheduled to work a minimum of 168 hours in a recognized 28-day pay cycle.** Staff working the additional 8 hours are compensated at straight-time for working the 8 hours. Initial Department practice was to provide staff assigned to the 12-hour shifts, 8 hours off per pay cycle; however, this practice was no longer occurring. Staff assigned to the 8-hour shifts are routinely scheduled to work 160 hours in the same recognized pay cycle;

- **Front-line security staff assigned to a 40-hour work week are scheduled to work one 8-hour shift on the weekend.** To supplement existing staffing levels on the weekend, staff normally scheduled to work Monday through Friday are also scheduled to work one additional 8-hour shift on the weekend; and
- **Shift breaks are not provided.** Staff assigned to the 8 or 12-hour shift schedule rarely receive a recognized break from their post assignment. Federal (Fair Labor Standards Act) and state labor laws do not require the employer to provide a meal period or break to employees. SCDC Administrative policy states:

SCDC Policy ADM-11.21 *Regular Working Hours and Overtime* cites in section 1.1: The official work schedule for security positions will be either 1.1.1 eight (8) hour shifts or 1.1.2 twelve (12) hour shifts on a 28-day cycle, including at least one 30-minute meal period each shift.

### Significant Incidents

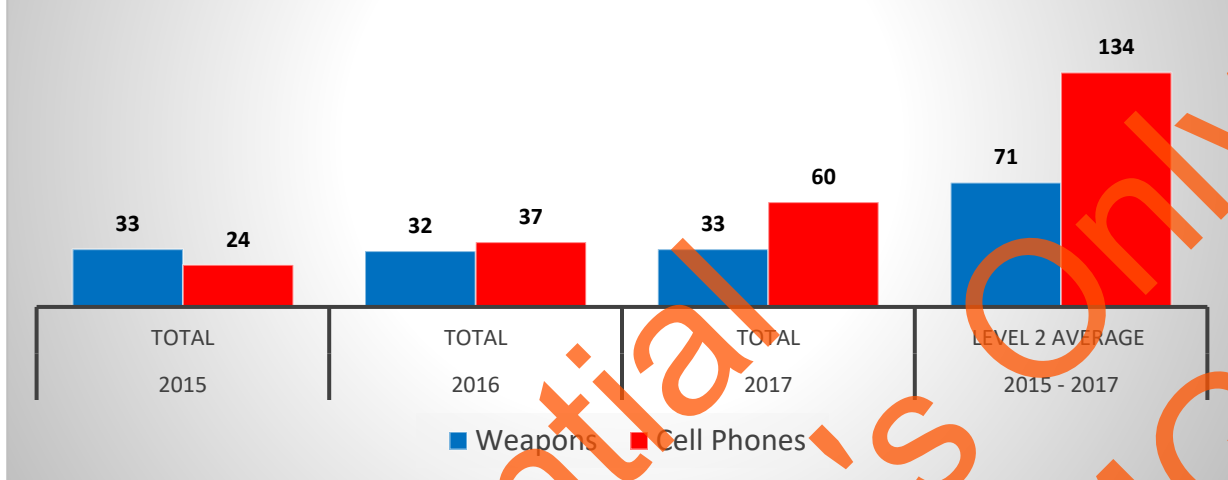
- Easter Sunday, April 2017. Three correctional officers were injured in a disturbance in one of the housing units and transported to an outside medical facility where they were treated for non-life-threatening injuries. One of the officers suffered stab wounds. An emergency response team was called to assist facility staff in securing the unit. No inmates were reported to be injured; and
- May 2017. Two individuals were arrested after they attempted to fly drones carrying contraband including knives, marijuana and cellphones into the Kershaw Correctional Institution. Authorities reported they found the two men on prison property.

### Demonstrated Risk Factors

**Contraband Incidents.** The introduction and presence of contraband in a correctional facility has always been an issue and a primary management concern when operating a facility. It often leads to unauthorized movement, destruction of property, compromised staff, public trespassing, criminal activity, violence and escape. At Kershaw there has been recent history of a weapon used to stab an employee on Easter Sunday in April 2017, and an attempt to introduce contraband in May 2017. As shown in the chart, weapons and cell phone related incidents reported at Kershaw have been high; however, less than the average identified for the five level 2 male facilities reviewed.



### Kershaw Correctional Institution Weapon and Cell Phone Incidents CY 2015 - 2017



Source: SCDC RIM

The Director of the department has been at the forefront on a national basis calling for federal support to repeal federal laws to allow cell phone jamming in correctional facilities. The Communications Act of 1934 and the Telecommunications Act of 1996 prohibit the operation of cell-phone-jamming equipment by any person, including state and local officials. In addition, the Act prohibits the manufacture, importation, marketing, sale or operation of devices deliberately designed to jam or disrupt wireless communications.

One of the keys to an effective contraband prevention and detection plan is to recognize there is often an extreme amount of pressure placed on staff, especially inexperienced staff, by inmates to be involved in contraband trafficking. It is often initially presented as a harmless venture, that can lead to intimidation, violence and a risk to the public, staff and inmates.

An internal plan based on available resources needs to be established to prevent, identify and detect contraband as a facility-wide goal. Part of the plan should ensure fundamental practices including searches, patrol, detection and intelligence gathering are consistently incorporated into daily workload activities by all staff, not just those assigned to contraband control. Once an employee is held responsible for more than one post assignment at a time, their ability to carry out all the necessary functions diminishes. The department has recognized this concern and has been vigilant in their pursuit to develop an effective plan.

**Assaults.** A second risk factor that is often associated with staffing levels is the number of assaults that occur at a facility. The number of staff, the experience level of staff and training is often referenced as one of the causes of prison violence. Although there is no internal or external study that supports insufficient staffing as the cause of violence, in most cases it should be considered a contributing factor. Having a sufficient number of well-trained knowledgeable staff assigned to appropriate locations should be the goal of every facility.

The conjecture is that if properly trained staff were present and available as identified in the recommended staffing plan, the chances of an incident resulting in an assault may not be as high. This may not always be the case; however, it should be considered a fair assumption.

It has been my experience, most, but not all inmates contemplating committing an assault look for opportunities to carry out the act without being detected. Having between one and two FLS staff assigned to a 250-bed housing unit which contains limited electronic surveillance support or having one staff member on the courtyard during movement periods creates an environment where the perceived opportunity to commit an assault can initially go undetected. This appears to be the case at Kershaw. There is simply not enough staff supported by available surveillance equipment to consistently cover all the required areas and send the message to the inmate population that when involved in criminal activity the risk of being apprehended will be great.

At Kershaw the number of assault related incidents involving inmates-on-employees reported in 2015, 2016 and 2017 was higher than the overall average reported for the other level 2 facilities. The number of inmate-on-inmate assaults was less in 2015 and 2016 and similar in 2017 to the average. The chart below reflects assaults occur at a higher than acceptable level, especially in respect to employee assaults. This may be considered a contributing factor to staff turnover rates, the ability to retain staff and whether staff wish to continue to be a part of this type of work environment. Human Resource staff reported that from May 2017 to November 2017 (27) new security staff were hired and (30) left.



Source: SCDC RIM

## Key Positions

Administration. The approved administrative core positions for the facility include a superintendent (Warden) and two assistant superintendents (Associate Warden of Operations/Associate Warden of Programs). On the date of the on-site assessment all the administrative core positions were filled. The Warden was debriefed and interviewed at the start and conclusion of the on-site assessment and was available throughout the day to discuss facility operations and to clarify pertinent staffing-related questions. On the day of the on-site visit the two associate wardens provided the assessment escort throughout the facility. The Warden and Associate Warden of Operations were contacted via telephone after the on-site visit to further discuss staffing related issues at the facility.

Supervisor Posts. The highest-ranking uniformed security position is the major. On the date of the site visit the major position was vacant. The current associate warden of operations had recently been promoted and had previously been the major. The major position is routinely considered the Chief of Security and reports to the associate warden of operations. The major position normally serves as the C-Card shift commander.

Five captains were assigned to the facility of which four were assigned as 12-hour shift commanders and one served primarily as the administrative captain, administrative hearing officer and restricted housing unit coordinator. All the authorized captain positions were filled on the date of the on-site assessment.

Each of the (4) 12-hour shifts are supervised by a captain who is normally assisted by at least one lieutenant assigned to the shift. The shift supervisor is responsible for overseeing shift operations, deployment of security personnel and meeting facility security needs as they arise. **There was one vacant lieutenant position and two lieutenants on extended leave status.** When more than one lieutenant is available on the shift the second lieutenant normally assists in providing coverage in the Restricted Housing Unit and/or Yard.

In addition to the lieutenants all the (4) 12-hour shifts have at least five sergeants available to assist in providing staff and area supervision. The 12-hour day shift starts at 6:45 am and scheduled to conclude at 7:00 pm. The evening shift starts at 6:45 pm and normally concludes at 7:00 am. Each shift includes an employee paid fifteen-minute shift briefing prior to proceeding to their assignment.

KCI also applies a "blended" shift schedule that includes security staff being scheduled to work an 8-hour shift. Under blended scheduling the supervisor post assignments that have more variable levels of work are assigned to an 8-hour post. The 8-hour shift, known as the C-Card is normally supervised by the major.

At Kershaw the 8-hour shift supervisory post assignments primarily include the following: Unit Management personnel, Restricted Housing Unit Supervisors, Training, Environmental Health and Safety, Contraband and Transportation. Most supervisory staff assigned to the 8-hour shift are initially scheduled to work from 8:00 am to 4:00 pm Monday through Friday; however, various starting and ending times are used to maximize coverage to best meet the needs of the facility.

In the housing units at KCI the unit management concept has been adopted. Unit Managers consist of veteran security personnel that fill a lieutenant's position on the roster. The non-uniformed supervisors serve as the housing unit administrator and are responsible for managing activities and staff assigned to a specific housing unit.

Working with the unit manager is normally a non-uniformed lieutenant, sergeant or officer who serves as the assistant to the unit manager of a housing unit and counselor to inmates assigned to the unit.

Due to the limited number of front-line security staff available to be assigned to the housing units and the workload responsibility associated with operating a housing unit staff assigned as the unit manager and counselor often deviate from their designed roles to fill a more traditional officer and/or sergeant role to address fundamental operating issues. There were (6) unit managers assigned to six different housing units. In addition to the unit managers there were seven security staff assigned as unit counselors.

In reviewing the reporting period of July 2017 to December 2017 on average approximately 39% of the filled security positions were considered supervisory positions. The approved funding level for security supervisors at KCI allowed for (61) positions of which (55) were filled. The sergeant position averaged four vacancies and the lieutenant position averaged two vacancies. Turnover rates, the number of qualified candidates, local alternative employment opportunities and the lack of overtime compensation for the lieutenants were cited as contributing factors to vacancies.

Front-Line Security Posts. For this study, front-line security staff positions include cadets, correctional officer I/II's and corporals. Cadets are those uniformed individuals that are 18 to 20 years of age, have not received all the firearms training required of an officer and are limited in where they can be assigned. On the date of the site visit there were six cadets. Correctional Officer I/II's are the traditional front-line security staff member age 21 and over and once certified may normally be assigned to any front-line post assignment. Corporals are non-supervisory lead officers normally with a minimum of 18 months experience that may be assigned to any front-line staff post within the facility. Individuals in the positions normally serve as the lead employee when two or more front-line staff are working together. For the most part based on current practice and because of existing staffing levels the officer I/II's and corporals are frequently interchangeable when considering post assignments.

A review of FLS staffing levels reflected that **approximately 34.8% of the front-line security staff had been at the facility for less than one year.** Security personnel with less than one year of service are normally not allowed to be assigned to transportation post assignments, the restricted housing unit or provide hospital coverage. Since less experienced staff are not normally assigned to transportation post assignments or in the restricted housing unit, a significant number of the post assignments within the facility including the general population housing units were being filled by front-line personnel with less than one year of experience at the facility. This is an area where experience can make a difference.

Key post assignments where front-line security staff are normally assigned include: Front Gate, Main Control, Perimeter Patrol, Transportation, Medical, Plaza Gate, Yard, Outside Hospital, Housing Units, Restricted Housing Units, Cafeteria, Personal Property, Visitation, Armory Key Control, Prison Industries, Utility and Back Gate. Some of the post assignments are required to be filled 24-hours per day, seven days per week, while others may be required to be filled for 12-hours, 10-hours, 8-hours or less per day ranging between two and seven days per week. Shift schedules are designed to allow for the concentration of security staffing levels to be available at times when the workload and activity levels in a specific area are generally higher.

## Roster Management

Roster management and staff scheduling at KCI are considered essential elements in the daily operation of the facility. In-house roster management for security positions are performed primarily by the administrative captain in concert with the shift commanders.

A post chart has been developed by the *Division of Security* as required by policy to identify recommended staffing levels and to guide facility personnel on where and when to fill identified post assignments. In addition, minimum staffing levels have been established for the 12-hour day and evening shifts. At Kershaw the 12-hour minimum staffing level established by the *Division of Security* for the day shift is (28) and for the evening shift is (23). A review of the sample daily rosters from 2017 reflect the facility did not consistently meet the minimum established standards on three of the (4) 12-hour shifts, when staff leave-time was applied. The E2 shift had (25) staff assigned of which one staff member was on extended leave status.

Shift Assignments. Facility management personnel at KCI have developed a master shift assignment roster for security staff that identifies the names of the personnel assigned to each shift, their position classification and status. In addition, personnel assigned specifically to the "contraband control" posts were also identified.

A review of the November 2017 master shift assignment roster at Kershaw indicated security staff were primarily assigned to one of five shifts. The (4) 12-hour shifts identified both front-line and supervisory staff assigned to all four of the shifts. Each shift was led by a captain and at least one lieutenant. In addition, there were at least five sergeants assigned to each shift.

Overall the (4) 12-hour shifts did not appear to be appropriately balanced. The D-1 and E-1 shifts are alternating shifts that are both assigned to work from 6:45 am to 7:00 pm. When one team is scheduled to be off the other team is assigned to work. Each team is scheduled to work 14 days in a 28-day cycle. The D-2 and E-2 teams are scheduled to work alternating shifts from 6:45 pm to 7:00 am. In reviewing the shift assignment rosters the following breakdown is provided.

The D-1 team had a total of (23) staff assigned of which (3) staff were on extended leave status. As a result, there were (20) staff available to fill a post assignment on the shift. The E-1 team had (26) staff assigned of which all (26) were available to fill a post assignment. Although the shift breakdown does not have to be perfect a more cost-effective approach would be to provide greater balance between the two alternating day shifts.

The D-2 team had a total of (21) staff assigned of which (4) were off on extended leave. As a result, there were (17) staff available to fill a post assignment on the shift. The E-2 team had (25) staff assigned of which (1) was on extended leave and (24) were available to fill a post assignment. A more cost-effective approach would be to provide greater balance between the two alternating evening shifts.

The number of staff assigned to the C-Card was the largest when compared to the (4) 12-hour shifts. There were approximately 41 security staff, excluding new hires assigned to the shift. Personnel assigned to this shift primarily worked in operational support positions, transportation, unit management, contraband, horticulture and provided security supervision in program, service and security specific areas.



Daily Shift Roster. In addition to the master shift assignment roster daily shift rosters are also maintained for the 12-hour shifts identifying in more detail the actual staff assigned by day, their post assignment, staff on leave and responders. The daily shift rosters are designed to identify how scheduled personnel are utilized and provide a best practice tool for documenting staff accountability. Based on a review of sample daily post assignment rosters there is no recapitulation data provided, no post classifications identified or any consistent reference to staff assigned from alternative shifts. This is critical when identifying post coverage trends, staffing needs and how available staff are being utilized.

The C-Card maintains an automated daily shift roster that identifies the post number, post description, area, post type, responder, name of the employee, gender and if applicable leave status. Staff reported a manual daily shift assignment roster was not normally being completed for the C-Card. As a result, there is no reference to post classification levels or a recapitulation table for the C-Card shift.

Post Coverage. By memorandum from the *Division of Security*, post assignments should be classified as either, Pull Post Level I, Level II, or Level III (mandatory) to assist shift supervisors when determining which posts can be temporarily collapsed or closed due to staff shortages, emergencies, overtime reduction efforts or other reasons deemed necessary by the shift commander or facility management. The classification of post assignments is designed to ensure certain post are shut down first.

In reviewing sample daily shift rosters and interviewing staff at the facility it appeared all the mandatory posts identified in the *Division of Security* post chart were not consistently being filled.

The discrepancy between operational practice and recommended mandatory posts was primarily in the consistency of filling all the mandatory posts and the number of staff assigned when more than one was recommended.

The following mandatory 24-hour FLS posts were identified as not having dedicated personnel assigned on multiple daily shift rosters: Plaza Gate (primarily on the evening shift); Back Gate and Yard Officer.

The following mandatory 24-hour FLS posts were identified on daily shift rosters as being filled; however; not at the level as recommended: Housing Unit North (4); Housing Unit South (7) and Restricted Housing Unit Wing Officers (4/3).

Each of the housing units were normally operating with fewer dedicated FLS staff than recommended by the department. Unit management personnel were routinely used to fill FLS staff post assignments when they were present and additional shift personnel would spot check housing units intermittently when available.

At Kershaw the fundamental elements of a roster management system including the identification of post assignments, recommended staffing levels, shift scheduling and daily shift roster development are in place.

The primary concerns with the roster system include the following:

- The post chart identifies mandatory posts that need to be filled and are not routinely filled due to available staffing levels. The current operating practice when insufficient staff are available is to contact qualified staff currently assigned or on their off-day to determine their interest in working additional hours.



Based on the number of staff that are interested in working additional hours combined with the scheduled staff, the shift commander fills as many posts as possible. Most often this results in mandatory posts going unfilled, staff working multiple posts and post assignments remaining unfilled;

- The alternating 12-hour shifts are not balanced. The two alternating night shifts varied by (4) FLS staff and the two alternating day shifts varied by (3) FLS staff on the day of the site assessment. Monitoring and adjusting 12-hour shift rosters when appropriate should be considered and reviewed on an ongoing basis;
- The recommended minimum staffing levels for each 12-hour shift needs to be reviewed and updated. Daily shift rosters reflected established minimum staffing levels were not being met on a consistent basis due to available staffing. Monthly in-house reviews should be completed to determine the effectiveness of the system and establish minimum staffing levels; and
- Daily shift rosters need to be updated to consistently reflect how all staff assigned to the shift are utilized, including clearly identifying those posts considered mandatory and a recapitulation table. Staff assigned to posts for less than a full shift, detailed to a special assignment, originally assigned to another shift and using benefit time should be clearly identified on the daily roster.

### Staffing Recommendations

The most significant concerns reported by facility personnel while conducting the on-site review involved the impact staff vacancies were having on both the facility and staff. Specific issues mentioned included staff turnover rates were resulting in a large percentage of inexperienced staff filling both front-line and supervisory posts; local alternative employee opportunities (across the road) were limiting the number of candidates; lieutenants not being eligible for overtime was making the position less attractive and the increasing reliance on staff working overtime to meet existing responsibilities was impacting morale and their decision to remain at KCI. Staff reported that between May 2017 and November 2017, (27) new staff were hired and (30) left.

The human resource component of operating a prison is one of the most critical elements in maintaining an efficient and cost-effective operation. Having a strategic staffing plan that takes into consideration the mission of the facility, legal standards and physical plant design is essential. At KCI the effectiveness of the staffing plan has been hindered primarily by staffing levels that cannot effectively meet existing workload responsibilities. As a result, facility management personnel have curtailed workload levels by drastically reducing inmate out-of-cell time.

### Recommended Post Assignment Enhancements

In reviewing current operational practices supported by daily rosters and staff interviews, to meet the mission of the facility, additional post assignments need to be filled by qualified staff on a consistent basis. An updated post chart has been developed to identify essential post assignments that should be filled on a regular basis.

The following post assignments identify core posts, that are considered either essential or critical assignments, that are not normally being filled at an appropriate level.

**Court Yard.** The Kershaw Correctional Institution is a campus-style facility divided primarily into two sides. The two sides are separated by interior fencing, security gates, and program and service buildings. Access from one-side of the facility to the other is primarily through interior gates. One side has three housing units, a courtyard, interior fencing, dining hall, canteen, prison industries, vocational education program, pill line distribution and access to program services. The other side is similar; however, has two housing units, vocational education, horticulture and maintenance.

All the authorized movement at Kershaw is considered controlled movement that includes in part unescorted movement between the housing units and program and service areas. To get from the housing units to most program activities and services inmates are required to walk through the courtyard which includes limited interior fencing and gates. There are normally not enough staff assigned to the housing unit to escort the inmates.

It is essential and a fundamental correctional practice in a medium-security facility that security staff be present to monitor, control access and authorize inmate movement. Based on the number of inmates housed at the facility, type of inmate and location of work, program and service areas in relation to the housing units, dedicated yard officers should be consistently assigned to control access, monitor existing activity levels, including medical pill and insulin lines, provide internal roving security and serve as responders. The recommendation includes additional posts assignments for the courtyard:

**Kitchen/Dock.** The cafeteria is divided into three primary sections, the dining area, serving line and kitchen. The kitchen contains a food preparation area, storage, office space and access to the loading dock. This area includes multiple blind spots, culinary tools, a high number of assigned inmates and access to outside the building including the dock area for the cafeteria. Food service personnel are normally present in the area; however, their primary focus is on food preparation and getting the meals ready to be served. No security personnel are normally assigned to the kitchen/dock area which should be considered a critical post and high-risk area. The back dock provides potential access to delivery vehicles, waste containers, the back of prison industries, vocational education and maintenance and the back gate. A Back Dock/Courtyard post has been established which would include dock supervision; however, the post is rarely if ever filled. The updated recommendation includes a kitchen/dock post to address existing responsibilities;

**Housing Units.** The general population housing units when fully operational each have an operating capacity of between 250 and 256. In three of the general population units the inmates are housed in one of two multi-level wings located within each unit. Each wing is separated by an interior sally port that contains a secure entry/exit to the building, work space and entry into each wing. Visibility from the sally port into each wing is limited.

In the fourth general population unit, there is a secure elevated control room surrounded by four separate housing unit wings. Some of the cell doors in two and one-half of the wings were reported to be capable of being manipulated to not secure. Current operational practice includes staffing the control room continuously and having at least one FLS security staff assigned to the housing wings. Actual staffing levels vary by shift, day and the availability of supervisory staff and unit management personnel.

Based on everyday responsibilities of an officer and the activity levels of each unit, the practice of having between one and two officers assigned to provide security, custody and control of 250 medium custody inmates is inconsistent with realistic expectations of what an officer can accomplish. Relying on supervisory staff to assist, impacts the ability of the supervisor to meet their position responsibilities. As a result, effective supervision in the housing units is not always being provided in this unit.

The facility reportedly has an internal policy where if there are not at least two staff assigned to a unit the unit will be on lockdown status. Based on the operation report, the facility was on partial or full lockdown status over 300 times during the first eleven months of 2017. Additional housing unit post assignments are identified in the updated recommendation;

**Restricted Housing Unit.** The Restricted Housing Unit consists of two separate multi-level sections, each containing two housing wings and a secure control room located in between each wing. **One of the housing sections was not being used.** The living areas provide secure cells, including four crisis cells which contain security cameras. All cells have a toilet and wash basin. Each wing contains two tiers, surveillance cameras, a small dayroom area, secure cells, recreational space and showers. The capacity of the one unit is (92).

The two wings are separated by a secure control room available to provide added security, visibility into the wings, remote access control and security support. The control room is required to be staffed on a 24-hour basis. In-house policy requires staff to conduct 30-minute security checks, escort medical personnel on the wing, deliver mail as needed, deliver meals, conduct inmate counts, escort inmates to the shower, visitation and recreation area, address inmate concerns and conduct building security checks. For inmates to be escorted out of their cell, a minimum of two staff are required to be present.

All these responsibilities require additional security personnel other than the officer assigned to the control room. This is a staff intensive high security unit and when insufficient personnel are available required responsibilities may not be met, including access to showers and/or recreation, cell checks and distribution of supplies. Appropriate staffing levels should be provided to meet responsibilities consistent with policy. Additional post assignments are identified in the updated staffing recommendation;

**Post Relief.** In view of the available staffing levels at Kershaw, staff assigned to the 12-hour shifts do not normally receive a meal break. There is usually no staff available to provide such relief. State and federal regulations do not mandate employers to provide breaks; however, SCDC policy does. Under the current circumstances and based on existing staffing practices, most front-line staff are not only filling one post assignment they are routinely filling two. The value and benefits of providing a short break to staff filling posts should be considered. Establishing "Security/Relief" posts that provide temporary relief to staff assigned to a post as stipulated by policy is included in the updated staffing recommendation; and

**Shift Relief.** A shift relief factor is not reflected in current assigned staffing levels. Applying the number of security personnel time-off is generally covered through assigning overtime, closing posts, or redeploying staff from other designated post assignments.

### Shift Relief Factor (SRF)

An updated shift relief factor has been developed for Kershaw based on data provided by personnel assigned to the Research and Information Management Division (RIM). The shift relief factor (SRF) represents the number of staff required to fill a post assignment throughout the year based on the number of hours the post needs to be filled divided by the number of hours the average employee assigned to the post is available.

Staff attendance, off-post hours and leave-time results are inputted into a department recognized electronic data base and transferred into an automated system that can identify the shift relief factor. The SRF electronic workbooks have been set up to allow the user to specify the institution and hours per shift which will automatically recalculate the SRF accordingly.

The SRF calculation for this project is based on the following:

- All security staff (cadets – major) who were assigned to the institution during the entire year;
- A blended work schedule, including the use of both an eight-hour administrative shift (160 hours) and the straight 12's (168 hours) schedule;
- An average of the three most recent completed years that was available at the time the report was being initially prepared. This included 2015, 2016 and 2017. The purpose of evaluating data from the past three years instead of one year minimizes the chances the SRF will be influenced by one or more unusual factors or outliers;

At Kershaw the overall use of "leave-time" has increased over the three-year period.

- Sick-Time: In 2017, the average full-term security employee used (119) hours of sick-time, compared to (84) hours in 2016 and (69.5) hours in 2015;
- Annual-Leave (vacation): In 2017, the average full-term security employee used (104) hours of annual-leave, compared to (76) hours in 2016 and (85) hours in 2015;
- Other-Time (FMLA, Military, Injury, etc.): In 2017, the average full-term security employee used (27.6) hours of other-time, compared to (11.9) hours in 2016 and (21.5) hours in 2015.
- The SRF is reflective of the facility being fully staffed; and
- Most posts recommended are considered relief posts. Refer to Appendix A for the detailed formula used to determine shift relief factors and the post chart appendix to identify specific post assignments being recommended.

<b>Kershaw Shift Relief Factors – 2018</b>			
<b>Average 2015, 2016, 2017</b>	<b>8 Hour Shift 5-days</b>	<b>8 Hour Shift 24/7-Days (160 hrs.)</b>	<b>Straight 12-Hour Shift 24/7 days (168 hrs.)</b>
<b>Institution</b>			
<b>Kershaw CI</b>	<b>1.29</b>	<b>5.41</b>	<b>4.99</b>

A shift relief factor of 4.99 can be translated to mean that for one year an average of approximately five (4.99) FTE staff will be required to fill one 24-hour post assignment when applying the straight 12-hour shift schedule. A five-day shift relief factor for one 8-hour post assignment requires an average of 1.29 staff to fill on an annual basis.

### Staffing Level Recommendations

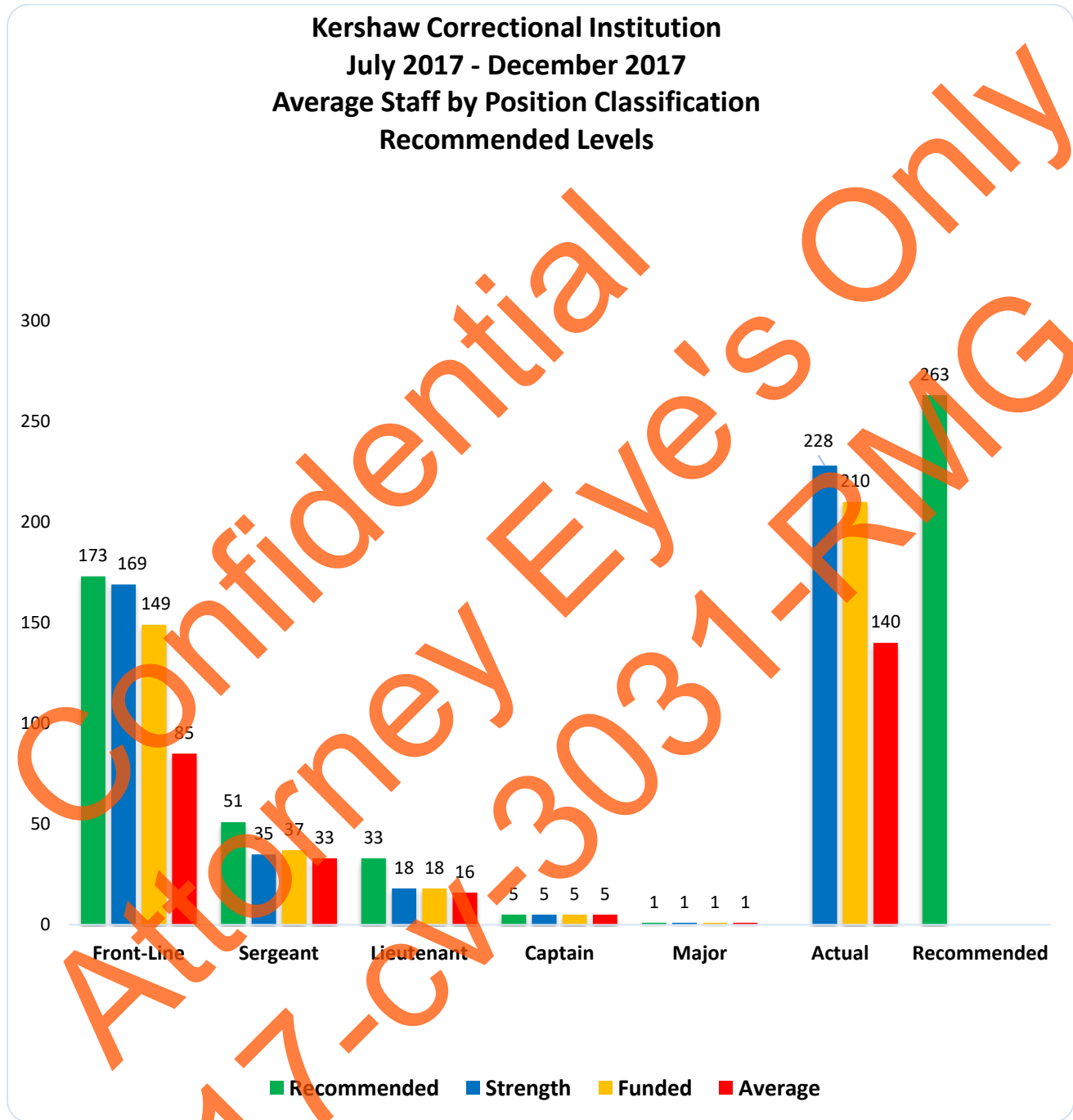
A recommended post chart has been developed to identify the number of security staff recommended to meet the current mission of the Kershaw Correctional Institution when fully operational. As the mission changes the staff requirement may also change.

The staffing recommendation is based on applying the following:

- A blended work schedule consisting of a 12-hour work schedule (168 hours) and an 8-hour (160 hours) administrative schedule;
- A 28-day pay cycle applying Section 7(k) of the Fair Labor Standards Act (FLSA) to determine the overtime threshold;
- A shift relief factor based on the most recent available three-year average leave-time and reported authorized time unavailable to fill a post, i.e. staff training, meal break;
- The facility fully operational including staffing all existing housing, program and service areas;
- The facility continues to operate under the established policies and current mission; and
- Taking into consideration security staffing related requirements as stipulated by court orders, settlement agreements, state and federal laws.

<b>Kershaw Correctional Institution Security Staffing Recommendation</b>	
<i>Position Classification</i>	<i>FTE</i>
Major	1
51C33a5ptains	5
Lieutenants	33
Sergeants	51
Front-Line Staff	173
<b>Total</b>	<b>263</b>

The recommended security staffing level for the Kershaw Correctional Institution is 263. The facility had been operating at 53.2% of the recommended level during the reporting period. A detailed listing of recommended post assignments can be found in the appendix.





## Ridgeland Correctional Institution

The Ridgeland Correctional Institution (RCI) is a state operated level 2 facility located approximately 130 miles south of Columbia in the town of Ridgeland, South Carolina. The facility was opened in 1995 and serves as one of South Carolina's adult male medium security correctional facilities. The operating capacity at Ridgeland is 1,020 and the average daily population during the last six months of 2017 was 1,012. One wing of a housing unit had been closed due in part, to limited available staffing levels.

While most of Ridgeland's inmate population is considered medium custody a small percentage of inmates (approximately 6 percent) are classified as level 1B (minimum) and may be eligible to be assigned to work on supervised work details located outside the perimeter. Approximately 11% of the inmate population was on a mental health caseload.

In addition to providing housing and services for general population inmates Ridgeland also provides housing and services for special programs including the Restricted Housing Unit. The Restricted Housing Unit is available for inmates requiring more intense behavioral levels of supervision. These inmates are housed and programmed separately from inmates assigned to the general population.

The physical plant at Ridgeland was built as a medium security facility and is surrounded by a double fence reinforced with multiple rolls of razor ribbon, electronic surveillance equipment, high-mast lighting, vehicle access gate, mobile perimeter patrol and an alarm detection system.



Inside the perimeter are a variety of buildings and open space provided to help meet existing facility responsibilities. The physical plant contains the following: Front Gate, Administrative Services Building, Main Control, Medical, Prison Industry Program, Maintenance/Vehicle Gate Area, Support Services Building, Education/Library and Multi-Purpose Building, Restricted Housing Unit, General Population Units, Greenhouse and a large open courtyard located in the center of the facility.

Food Services are normally provided to the general population in the main cafeteria located in the Support Services area.

All authorized inmate movement was considered controlled movement and the type of movement varied based on the inmates' classification, the purpose for the movement, destination and time of day. A combination of line movement (food services), escorted, supervised and the use of passes (OTR's) was all being used.

### **Housing Unit Designs**

There are two housing unit designs at the Ridgeland Correctional Institution. All the housing units contain secure cells as dormitory style housing is not provided at this medium-security facility. The housing unit designs are consistent with nationally recognized practices for a level 2 facility. In total, there were five inmate housing units at RCI that were considered operational.

**General Population.** The general population housing units consist of four **direct supervision** two-tier units similar in design. Direct supervision units provide an open officer work station located within the inmate living area. The living areas are referred to as "wings" as they represent one of two primary housing areas within each unit. The living areas contain ADA recognized and double occupancy cells, dayroom space, showers and an open-counter officer work station. Each cell contains a toilet and wash basin. Most of the cells are designed for double occupancy. Total operating capacity a wing in the four similar designed housing units is approximately 136. In the front center of the unit is a secure indoor sally port and staff working space. In the back of each unit located between the two wings is an open-air recreation yard. Security surveillance cameras are available in select areas.

**Restricted Housing Unit (RHU).** The RHU is a single-story building that has a reported operating capacity of approximately 72. The unit consists of a secure entrance sally port and four separate living areas surrounding a control room strategically located in the center of the building. Control room staff are responsible for providing back-up support to the wing officers, distribute security equipment, maintain communications using a video monitor, radio and telephone, and activate an electronic door access control panel that operates the security doors within the unit. Individual showers controlled by security staff are in each cell, inmate telephone access is provided in the unit and outdoor recreation is provided in a secure area adjacent to the building.

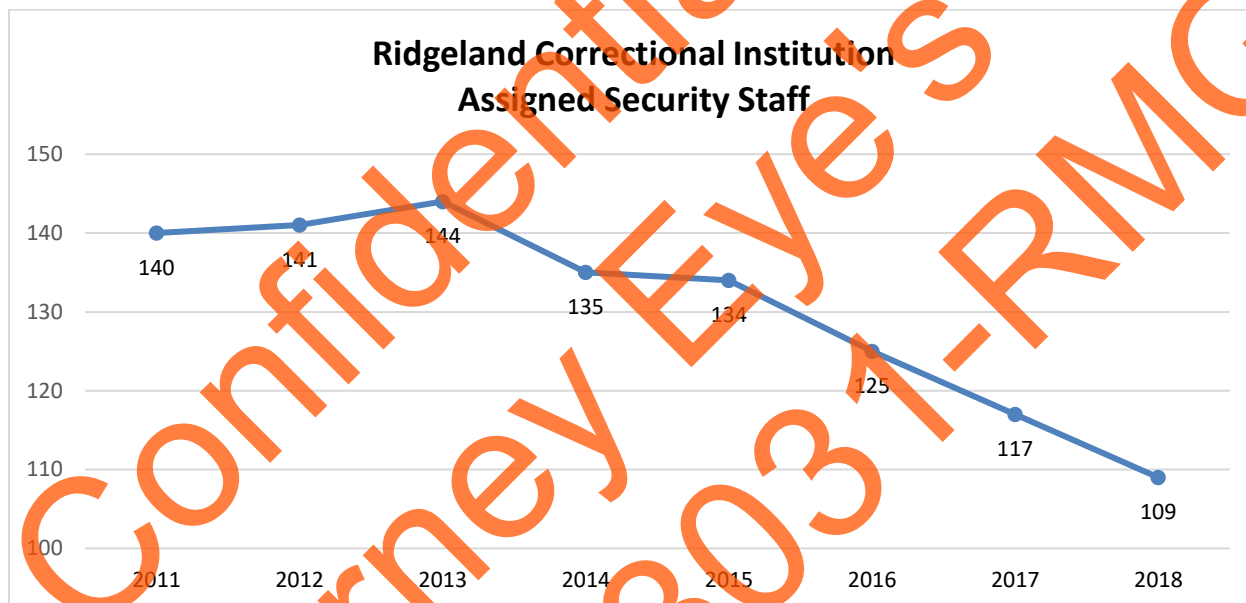
### **Program Services**

A wide variety of program services are available and integrated into the daily facility schedule. Primary programming includes ABE/GED, Vocational Education, Religious Services, Anger Management, Character-Based Program, Volunteer Services, Road to Recovery, Transitional Programing, Alcohol and Drug Education, Highway Work Crew, Mental Health Services, Step-Down, General Library, Law Library, Recreation, Toastmasters Program, Visitation, Canteen and the Prison Industry Program.

## Security Staffing Profile

On the date of the site visit (*September 21, 2017*), there were (104) full-time security staff positions reported to be filled. The approved *funding level* was (158) and the *authorized strength* was (165). The approved *funding level* is the number of personnel in each position classification approved by the department to be filled. The *authorized strength* is the current department recognized number of security positions required to operate the facility safely. The *authorized strength* is determined by the SCDC *Division of Security* based in part on feedback from facility management personnel.

Security staff vacancies have been a concern at Ridgeland for an extended period. In January 2011 the reported security staffing level was (140). In January 2013 the security staffing level was reported as (144), a seven year high for the facility. After 2013, there has been a consistent year-over-year decrease in the overall number of security personnel as shown in the following chart. Specifically, there was a 24% decrease in available staff from January 1, 2013 to January 1, 2018. The figures below identify the total number of filled security positions reported on January 1 of each year.



Source: SCDC RIM

The primary difference in the security staffing levels at Ridgeland from year to year is in the **average number of front-line positions that were filled**. A significant decrease in front-line security (FLS) staffing levels began in 2013 and has continued to decline through 2017.

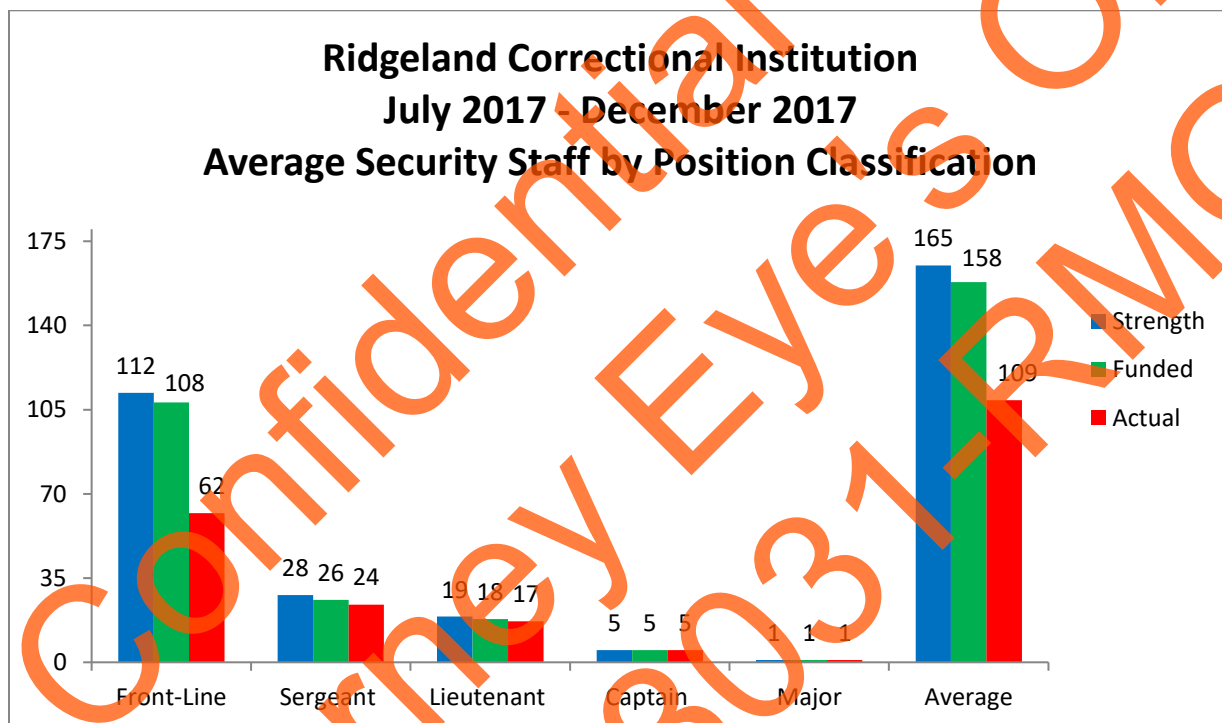
In January 2018 the facility was operating with approximately 24% fewer staff than were available in 2013. There were no indication workloads have significantly changed during the past five years, other than the closing of one housing unit wing to reduce staff workload.

As noted, RCI has consistently been operating at extremely deficient levels when compared with both the *authorized strength* and approved *funding levels* for an extended period. When compared with the analyst recommended staffing level, the facility was operating at less than 50% of the recommended level on the date of the on-site visit (104 vs. 215).

## Recent Staffing Trends

The following chart depicts the average staffing levels for a more recent period from July 1, 2017 to December 1, 2017. The facility was operating at a level where on average there were approximately (49) funded positions that were not being filled. These were funded positions that had been approved by the department; however, remained vacant. In respect to the recommended *authorized strength* level, the facility was operating with an average of (56) positions unfilled during the same reporting period. There appears to be a consistent disconnect between the authorized, funded and actual staffing levels at this facility.

The chart identifies the **average staffing levels** by position classification during the reporting period of July 1 through December 1, 2017. Front-Line positions identified in the chart include cadets, officer I/II's and corporals.



Source: SCDC RIM

As noted the largest number of vacancies (93.9%) was found in the front-line positions. These are the positions that normally have the most frequent direct contact with inmates and routinely include post assignments such as housing units, transportation, yard, inmate escorts and providing direct security within a specific area.

There was an average of (62) front-line staff assigned to the facility during the five-month (July 1 – December 1, 2017) reporting period. To put into perspective the impact (62) front-line staff (FLS) would have on filling post assignments, the following scenario is provided.

There are five housing units at Ridgeland including four general population units and one restricted housing unit. The restricted housing unit provides housing and services for inmates requiring separation and/or more intense behavioral levels of supervision.

At a minimum (not recommended), three **front-line staff** are required to be assigned to this unit. In addition, each of the four (270 bed) general population housing units require a minimum, (not recommended), of (2) front-line staff on each shift.

When two additional core positions are included, such as main control and outer perimeter patrol, a total of a minimum of (13) FLS posts would be required to be filled. Since staff may not always be available to fill a post, because of the use of benefit-time or off-post assignments, a shift relief factor (SRF) is applied to estimate the number of staff required to fill a single post throughout the year. In using a 24-hour relief factor of 5.06 applied to the (11) housing unit posts and (2) core positions which are all required to be staffed continuously, the total number of front-line staff needed to fill just these posts at a minimum, **not recommended level**, would be (65.78), (13 posts x 5.06 SRF) rounded to (66). Ridgeland averaged (62) front-line staff assigned to the entire facility during the recent five month reporting period.

The concern presented, is that the housing units and two core FLS posts are not the only post assignments that need to be filled. The following additional front-line posts are also currently required: Transportation, Vehicle Gate, Inmate Escort, Hospital Coverage, Cafeteria, Contraband Officers, Inside Grounds, Education, Road Crew (Litter), Tool Room, Visitation, Medical, Utility and Front Gate.

Current practice results in a combination of fewer staff being assigned to the housing units as personnel are used to fill other post assignments, staff working extra hours to fill vacant post assignments, supervisory staff filling front-line assignments, inmates being restricted to their cells and programs temporarily cancelled. As a result, fundamental operating issues, such as searches, shakedowns, counts, inspections are not consistently being applied as designed. Most inmates are aware of this discrepancy which often leads to what some inmates may perceive as an opportunity to take advantage of these deficiencies.

### Operational Initiatives in Response to Staffing Levels

In view of the available staffing levels facility management personnel have had to deviate from the established staffing plan and implement several initiatives to maintain minimum operations at the facility.

These initiatives routinely include the following:

- **Staff responsibilities are expanded beyond the established post order.** Each post assignment includes a written post order that describes the normal responsibilities associated with the post (OP-22.24)<sup>37</sup>. Under normal circumstances security staff are responsible for one post at a time. Staff at RCI are routinely required to be responsible for meeting both their assigned responsibilities and responsibilities of an additional post.

As a result, basic operating practices are not consistently being performed, including regular cell searches, building and area inspections, pat-down searches, engaging in pro-active security measures and providing inmates assigned to the restricted housing unit consistent access to recreation;

- **Staff are augmented to leverage existing personnel resources.** Approximately 94% of the vacancies were in the front-line staff positions resulting in personnel outside that position classification to frequently fill line staff post assignments.

<sup>37</sup> SCDC Policy OP.22.24 Post Orders.



A review of daily shift assignment rosters reflect sergeants, lieutenants and captains are commonly used to complete front-line post duties, limiting their ability to supervise or perform their normal responsibilities;

- **Security personnel from the Allendale Correctional Institution are used to fill Ridgeland post assignments often at an overtime rate.** Allendale security personnel are frequently used to fill external post assignments at Ridgeland including the mobile perimeter patrol, bus transport and the vehicle gate post. During the 60-day period of 7/22/17 – 9/19/17 a total of 1,197.5 hours of overtime was reported by Allendale staff to fill Ridgeland post assignments;
- **12 Hr. Shift Supervisory personnel routinely work 14-15 hr. days.** To meet existing responsibilities, shift supervisory personnel routinely arrive prior to the start of their assigned shift, review staff availability, facility schedules, overall shift workload, manage the shift and remain after their shift is normally over to ensure effective communication and staff coverage. Lieutenants and Captains are considered exempt employees and not currently eligible for overtime;
- **Staff initially not scheduled to work are frequently required to fill vacant post assignments beyond their normal work schedule.** During the 28-day pay period of 6/24/17 – 7/21/17 a total of 2,779.6 hours of overtime was reported to fill security post assignments. During the 28-day pay period of 7/22/17 – 8/18/17, a total of 2,314.85 hours of overtime was reported to be worked by security staff. One employee had worked 111.5 hours of overtime in addition to their regular 168-hour work schedule during a 28-day pay period. Overtime expenditures at RCI have increased by over 120% during the first eleven months of 2017 when compared with the same period in 2016.

Facility management personnel reported the overtime was primarily the result of personnel filling vacant required post assignments, fewer FLS staff being available in 2017, staff staying after their shift because of late reliefs, providing hospital coverage, inmate transports and to attend required training during their scheduled off-time. Overtime should not automatically be considered a poor reflection of an existing staffing plan; however, excessive overtime can lead to job dissatisfaction, employee effectiveness, resignations and high rates of turnover. At Ridgeland overtime expenditures appeared to be constant and excessive;

- **The facility is placed on full or partial lockdown to limit movement outside the cell.** During the first eleven months of calendar year 2017 the facility reported that due to staff shortages they were on full or partial lockdown a total of 108<sup>38</sup> days. This resulted in limited access by inmates to programs and services and based on staff reports often resulted in an increase in tension throughout the facility;
- **A “Tiering” Schedule has been developed to limit inmate movement.** A “Tiering” schedule is implemented at the facility, limiting the number of inmates out of their cell during “dayroom time”. Normally during full operations, the inmates assigned to the entire wing would have the option of being allowed out of their cells during scheduled dayroom time.

The tiering schedule divides the housing wing in half, and only Inmates assigned to either the upper or lower tier are allowed out of their cell during scheduled dayroom-time.

<sup>38</sup> SCDC Operations. December 2017 Lockdown Statistics.



This results in inmates having half the amount of dayroom-time when compared with normal operations. On the day of the site visit as many as (136) inmates were assigned to one wing. Each general population housing unit has two wings;

- **Out of cell inmate activity is limited after 7:00 pm.** Based on staffing levels inmates assigned to general population units are often restricted to their cells at 7:00 pm to limit inmate movement and reduce overall staff workload responsibilities;
- **Front-line security staff assigned to a 40-hour work week are scheduled to work one 8-hour shift during the weekend every four weeks.** To supplement existing staffing levels during the weekend, staff normally scheduled to work Monday through Friday are scheduled to work one additional 8-hour shift on the weekend every four weeks;
- **Post Assignments go unfilled.** A review of daily shift assignment rosters from July 2017 through September 2017 reflect all post assignments in the housing units, escort positions, yard, cafeteria and education are not frequently being filled. On the date of the site visit, based on the daytime daily shift rosters, (D-1 and C) there was one front-line security staff member assigned to each of the four general population housing units. The inmate count in three of the four buildings exceeded 245. One housing unit had a wing closed due in part to available staffing levels. As a result, inmate access to programs and services are often postponed, cancelled or delayed;
- **A housing unit wing is closed.** One of two wings in the inmate housing unit referred to as "Savannah" was closed to reduce the overall workload and associated staffing requirements of the facility;
- **Staffs assigned to the 12-hour shifts are routinely scheduled to work a minimum of 168 hours in a recognized 28-day pay cycle.** Staff working an 8-hour shift are initially scheduled to work (160) hours in a 28-day pay scale. Staff assigned to the 12-hour shifts are scheduled to work (168) hours with the additional 8 hours compensated at straight-time. The initial Department intent was to provide staff assigned to the 12-hour shifts, 8 hours off per pay cycle; however, this practice was no longer occurring;
- **Staff assigned to 8 or 12-hour shifts do not consistently receive meal breaks.** Most staff assigned to the shifts rarely receive a recognized break from their post assignment. Federal (Fair Labor Standards Act) and state labor laws do not require the employer to provide a meal period or break to employees; however, SCDC policy does.

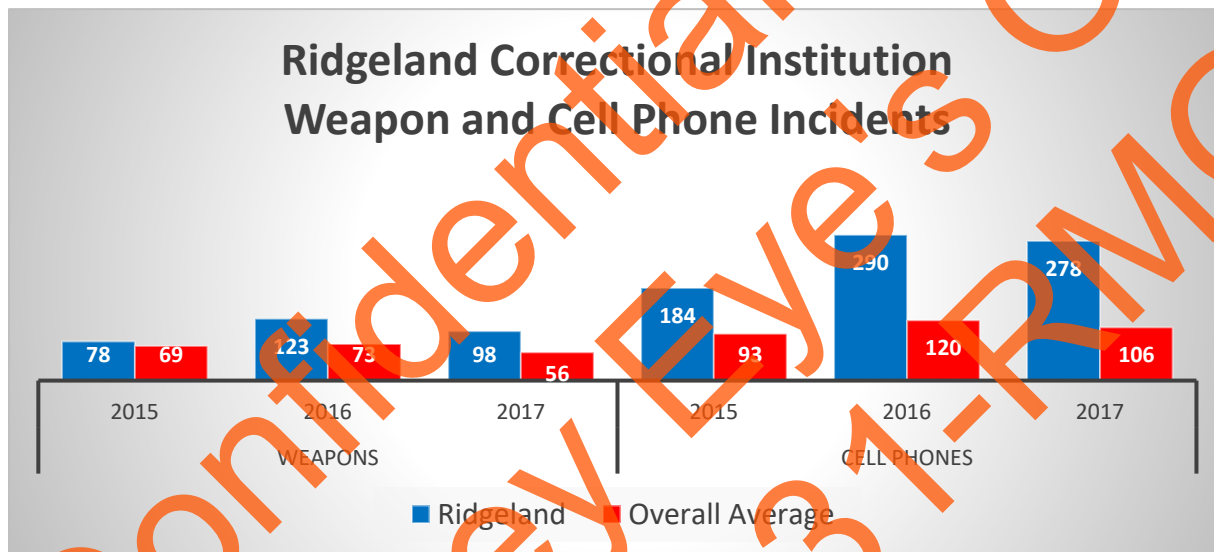
*SCDC Policy ADM-11.21 Regular Working Hours and Overtime cites in section 1.1 states: The official work schedule for security positions will be either 1.1.1 eight (8) hour shifts or 1.1.2 twelve (12) hour shifts on a 28-day cycle, including at least one 30-minute meal period each shift; and*

- **Filling Mandatory post assignments intermittently.** The Division of Security has developed a post chart as a guideline to identify post assignments required to be filled and when they are to be filled. Due to staffing levels, existing operational practices frequently result in all posts not being filled and staff assigned to non-stationary posts, intermittently filling posts such as the yard, front lobby and/or some of the housing unit posts only during peak hours.

## Demonstrated Risk Factors

**Contraband Incidents.** The introduction and presence of contraband in a correctional facility is and has always been a primary management concern. Contraband often leads to unauthorized movement, destruction of property, compromised staff, public trespassing, criminal activity and violence. At Ridgeland significant contraband related incidents involving weapons and/or cell phones were more prevalent than in any other facility reviewed. During Calendar years 2015 through 2017, Ridgeland reported (1,051)<sup>39</sup> incidents involving weapons and/or cell phones. The second highest in respect to volume was Turbeville with (857) incidents followed by Tyger River with (838) reported incidents.

The following chart identifies the frequency in which weapons and/or cell phone incidents were reported at Ridgeland in comparison with the other male facilities reviewed in this project. As shown, over twice the number of cell phone incidents were reported in 2016 and 2017 and the number of weapon related incidents at the facility were higher than the comparable average in each of the past three years.



Source: SCDC RIM

The chart clearly shows that the introduction and presence of contraband at Ridgeland has consistently been a management issue for the past three years. Staffing levels on January 1, 2015 were (134) and on January 1, 2018 they were (109).

In reviewing staff deployment patterns and interviewing personnel at the facility there is no indication the reason for the higher level of contraband related incidents at Ridgeland is due to housing unit staff conducting more searches. Three security staff were assigned to the contraband control detail and were conducting searches on the day of the site assessment. Although there are staff assigned to contraband control they are often pulled to fill other post assignments throughout the facility.

At Ridgeland there appears to be a consistent demand and opportunity to be in possession of contraband.

<sup>39</sup> SCDC RIM 2015 -2017 Contraband Incidents from MINs.

What is unusual at Ridgeland, is the consistent volume of incidents related to contraband compared to other facilities reviewed. For many inmates at Ridgeland possessing or the attempt to possess contraband appears to outweigh the risk and perceived probability of being apprehended.

Despite the risks, there remains a consistent demand, and if history were to repeat itself, there will continue to be a demand to possess restricted items. The primary concern is that possession of contraband often leads to further criminal activity, including violence, drugs and contraband within the facility.

In January 2018, installation of perimeter netting that extends the height of the perimeter fence began at Ridgeland, increasing the difficulty of throwing (introducing) contraband over the perimeter fence.

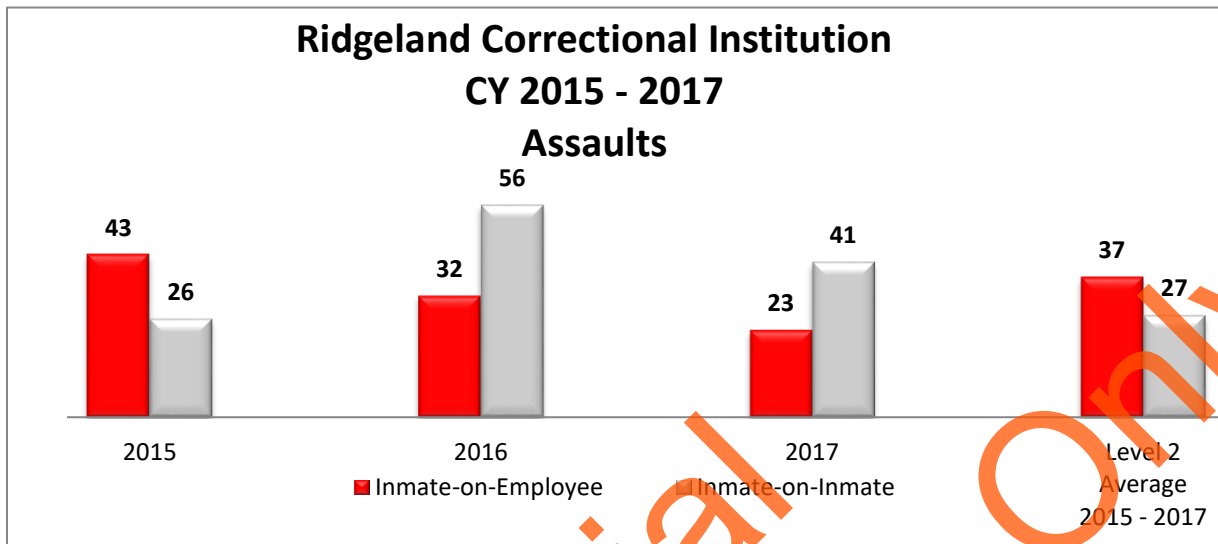
One of the keys to an effective prevention and detection plan is to establish a realistic plan based on existing resources to prevent, identify and detect contraband as a facility-wide goal. Part of the plan should ensure fundamental practices including searches, patrol, detection and intelligence gathering are consistently incorporated into daily workload activities by all staff, not just those assigned to contraband control. To carry out the plan supervisory staff need to be vested and properly trained and staff to be responsible for no more than one post assignment at a time to meet their responsibilities. Once an employee becomes responsible for more than one post the breakdown begins.

The Director of the department has been at the forefront on a national basis calling for federal support to change laws to allow cell phone jamming in correctional facilities. The Communications Act of 1934 and the Telecommunications Act of 1996 prohibit the operation of cell-phone-jamming equipment by any person, including state and local officials. In addition, the Act prohibits the manufacture, importation, marketing, sale or operation of devices deliberately designed to jam or disrupt wireless communications.

**Assaults.** A second risk factor that is often associated with staffing levels is the number of assaults that occur at a facility. The number of staff, staff training and the experience level of staff is often referenced as one of the causes of prison violence. Although there is no internal or external study that supports insufficient staffing as the cause of violence, in most cases it should be considered a contributing factor. Having a sufficient number of well-trained knowledgeable staff assigned to appropriate locations should be goal. The conjecture is that if properly trained staff were present and available as identified in the recommended staffing plan, an incident resulting in an assault may not have occurred. This may not be the case in all circumstances; however, it is a fair hypothesis.

It has been my experience, most inmates when contemplating committing an assault look for opportunities to carry out the act without being detected.

Having two staff assigned to a 270-bed housing unit which contains limited to no electronic surveillance support or having one staff member on the courtyard during movement periods creates an environment where the perceived opportunity to commit an assault, if interested, can initially go undetected. This appears to be the case at Ridgeland. There is simply not enough staff to consistently cover all the required areas and send the message when involved in criminal activity the risk of being apprehended for the same will be great.



Source: SCDC RIM

At Ridgeland the total number of reported assaults in 2017 was consistent with the total overall average number of assaults reported by the other male level 2 facilities reviewed. Inmate-on-Inmate assaults at Ridgeland was higher while inmate-on-employee assaults was lower than the average. Any assault is one to many; however, this should be considered a contributing factor to high staff turnover rates and staff pursuing alternative employment options. Based on weekly officer count reports received from RIM, during the period of May 1, 2017 to January 2018 (21) additional correctional officers/cadets were added and (12) had left.

### Key Staff Positions

**Administration.** The approved administrative core positions for the facility include a superintendent (Warden) and two assistant superintendents (Associate Warden of Operations/Assistant Warden of Programs). The Regional Director, Warden and Major assisted in providing a tour of the facility and were available to discuss facility operations and clarify pertinent staffing-related questions. After the initial on-site assessment both the Warden and Major were available via telephone to clarify pending issues.

**Supervisor Posts.** The Major is the top uniformed security post at the facility. This position is considered the Chief of Security and reports to the Associate Warden of Operations. Each of the (4) 12-hour shifts are supervised by a captain who is assisted by a lieutenant. When the captain is off-duty a lieutenant assumes supervision of the shift. The shift supervisors report to the major. The shift supervisor is responsible for overseeing shift operations, deployment of security personnel and meeting facility security needs as they arise. Each 12-hour shift has at least one lieutenant assigned that serves as the assistant shift commander or yard supervisor.

In addition, all the 12-hour shifts have sergeants available to assist in staff and area supervision. In total there were five captains, four of which served as the 12-hour shift commanders and one served as a unit manager.

On the day of the site visit there were seventeen (17) total lieutenants of which four were not available to fill a post because of being on extended leave status, one was assigned as the Staff Retention Lieutenant (Central Office Budget), one was assigned as the Staff Recruitment Lieutenant (Central Office Budget), one was assigned as the Staff Training Lieutenant and three were assigned as unit managers. This resulted in an average of one shift lieutenant being assigned to each 12-hour shift and the remaining lieutenants assigned to the eight-hour shift.

Ridgeland applies a “blended” shift schedule that includes having several staff working an 8-hour shift schedule, commonly referred to as C-Card. Under blended scheduling supervisor post assignments with more variable levels of work are assigned to an 8-hour post assignment. The “blended” model generally allows for the concentration of staffing levels to be available at times when the workload and activity level are at the highest. The objective of the blended schedule is to make more efficient use of available staff resources by having staff available in the most beneficial areas at the most appropriate times. As a result, there is always a ranking security staff member in a supervisory capacity present at the facility.

Supervisors which include: sergeants, lieutenants and captains working the 8-hour shift schedule may be assigned to the following: Training, Compliance, Transport, Contraband Control, Environmental Health and Safety, Restricted Housing, Key, Armory, Property Control and Unit Management personnel. It should be noted that the Staff Retention and Staff Recruiting Lieutenants were central office positions assigned to RCI that did not report directly to the warden.

In each of the five housing units at Ridgeland a scaled down version of the Unit Management concept has been adopted. Unit Managers have been appointed that include both a captain and lieutenants. These non-uniformed supervisors serve as the housing unit administrator and are responsible for managing activities and staff assigned to a specific housing unit. Working with the unit manager is normally a sergeant who serves as the assistant unit manager of the housing unit and as a counselor to inmates assigned the unit.

Due to a combination of the limited number of frontline staff assigned to the housing units, the capacity of the housing units (approximately 250-270 inmates), and the workload associated with operating a unit, personnel assigned as the unit manager and counselor routinely deviate from their designed roles to address fundamental operating issues. Staggered starting times are applied to expand their presence. On the date of the on-site visit representatives from the unit management model were assigned to each of the five housing units.

The unit management concept is widely recognized as a positive management style that is designed to improve the delivery of correctional services in part by increasing the frequency of staff contacts with the inmate population. The concern at Ridgeland is the unit management staff are more often spending their time in roles similar to sergeants or front-line staff addressing basic operational issues instead of developing the overall housing unit plan.

Front-Line Security Posts. For this study, front-line security staff positions include the position classifications of cadets, correctional officer I/II's and corporals. Cadets are uniformed individuals that are 18 to 20 years of age, have not received all the firearms training required for a correctional officer. Correctional Officer I/II's are the traditional front-line security member age 21 and over and once certified may normally be assigned to any front-line staff post. Corporals are non-supervisory lead officers with a minimum of 18 months experience that may be assigned to any line staff post within the facility.



Individuals in these positions normally serve as the lead employee when two or more front-line staff are working together. For the most part based on current practice and because of existing staffing levels the officer I/II's and corporals are often interchangeable.

Key post assignments where front-line staff are normally assigned include: Master Control; Perimeter Patrol; Transportation; Prison Industries; Operations; Restricted Housing Unit Control Room; Housing Unit Wing Officer; Yard Officer; Vehicle Gate; Escort Officer; Cafeteria Officer; Contraband Officer; Inside Grounds; Education; Road Crew (Litter); Tool Room; Visitation; Medical; Utility and Front Gate.

Some of these post assignments are required to be filled 24-hours per day, seven days per week, while others may be required to be filled for 12-hours, 10-hours or 8-hours per day ranging between two and seven days per week. Shift schedules are designed to allow for the concentration of security staffing levels to be available at times when the workload and activity levels in a specific area are generally higher.

For example, formal education is normally scheduled five days per week during the day shift. Security personnel are required to fill the education post assignment only during those days when education programs take place but are not required to fill the post the remaining days during each week, normally Saturday and Sunday.

In contrast, the Main Control post, which operates the electronic door access control panels, distributes security equipment, provides remote visual back-up support and serves as the communication hub for the facility is appropriately required to be staffed 24-hours per day, seven days per week.

The analyst recommended staffing level for front-line staff at Richland is (133). There was an average of (62) front-line staff assigned to Ridgeland during the period of July 1 – December 1, 2017.

### **Roster Management**

Roster management and staff scheduling at RCI are considered essential elements in the daily operation of the facility. In-house roster management for security positions are performed primarily by the major in concert with the shift commanders.

A post chart has been developed by the *Division of Security* as required by policy to identify recommended staffing levels and to guide facility personnel on where and when to fill identified post assignments. In addition, minimum staffing levels have been established for the 12-hour day and evening shifts. At Ridgeland the 12-hour minimum staffing level established by the *Division of Security* for the day shift is (20) and for the evening shift is (17). Based on existing available staffing levels it was not feasible to operate at the minimum staffing level or higher on any of the 12-hour shifts without relying on staff initially not scheduled to work to be assigned to a post or establishing un-balanced shift assignments. Closing post assignments generally results in not getting something done that needs to be done. At Ridgeland due to staffing levels this has become the norm.

Shift Assignments. A master shift assignment roster for security personnel has been developed that identifies the personnel assigned to each shift, their position classification, status, those attending the Training Academy, "New Hires" and those on leave status.



A review of the Master Shift Assignment Roster dated September 19, 2017 reflected a balanced division of staff in both numbers and position classification for the (4) 12-hour shifts. The 8-hour shift reflected a heavy concentration of supervisory personnel and very few front-line staff.

Daily Shift Roster. Daily shift rosters which is a critical element in the roster management system are maintained on each primary shift and identify in more detail the actual staff assigned by day, their post assignment, hours of coverage, post status, staff on leave, responders, and when applicable, if the staff person was temporarily assigned or working overtime. The daily shift rosters are designed to document how assigned staff are being used and provides a necessary tool to identify staff accountability. A review of approximately (30) daily rosters show varying degrees of consistency in reporting staff utilization. Daily rosters were being completed for each shift; however, details were occasionally missed, including the employee name assigned to a specific post, when the post was filled or clearly identifying staff working extra hours.

Post Classification. By memorandum from the *Division of Security*, post assignments should be classified as either, Pull Post Level I, Level II, or Level III (mandatory) to assist shift supervisors when determining which posts can be temporarily collapsed or closed due to staff shortages, emergencies, overtime reduction efforts or other reasons deemed necessary by the shift commander or facility management. The classification of post assignments is designed to ensure certain post are shut down first.

Due to available staffing levels the use of a post classification system was not considered as critical as the facility was rarely filling other than mandatory and level II posts. Most daily rosters did not identify the post classification and based on current staffing levels was not a significant concern. Staff were being assigned to critical areas as there was no evidence staff were being assigned to posts that could be closed while mandatory posts were left unfilled. When staffing levels increase, allowing for more flexibility, post classifications should be clearly identified.

The sample daily shift rosters provided by the major show the following post assignments consistently being filled: Shift Commander, Main Control Room, Outside Perimeter Patrol, Restricted Housing Unit Control Room, Restricted Housing Unit Wing and General Population Housing Unit Wing Officer. The outside perimeter patrol post and Vehicle Gate post was often filled by staff working extra hours from the Allendale Correctional Institution.

The most significant concerns noted in reviewing daily rosters is in the number of front-line staff assigned to each housing unit. Normally on the day shift no more than two front-line staff are being assigned to directly supervise a housing unit with an operating capacity of approximately (270). Based on completed daily rosters, often only one front-line staff person is being assigned. During the day shift a unit manager and/or unit counselor may be available during peak times on weekdays to assist. On weekends, little to no assistance is provided. On the night shift rarely was there more than one front-line staff member assigned to the unit. The impact of operating at this level, results in very few, pro-active initiatives are getting done.

Additional concerns regarding filling mandatory posts, include the inability to fill a second outer perimeter patrol post and yard officer post during the evening shift on a consistent basis. Contraband as noted in the report, is a major concern at Ridgeland. Patrolling both the courtyard and perimeter is critical to identify and deter unauthorized movement in these areas.

At Ridgeland the basic elements of a roster management system including the identification of post assignments, establishment of recommended staffing levels, appropriate shift scheduling and daily shift roster development are in place.

The primary concerns with the roster management system include the following:

- There is not enough staff. The post chart identifies mandatory posts that need to be filled and are routinely not being filled. The current operating practice, when insufficient staff are available, is for the shift commanders to contact qualified staff assigned or on their off-day to determine their interest in working extra hours. Based on the number of staff that are scheduled and interested the shift commander fills as many posts as possible. Occasionally this results in mandatory posts going unfilled;
- The recommended minimum staffing levels for each 12-hour shift should be reviewed and updated on a regular basis. Daily shift rosters reflected established minimum staffing levels were not being met on a consistent basis due to the number of staff assigned. Monthly in-house reviews should be completed to determine the effectiveness of the roster management system, confirm or re-establish minimum staffing levels, if needed, and to update voluntary and if needed mandatory call-back lists; and
- Daily shift rosters should be updated to reflect how all staff assigned to the shift are utilized. The daily roster should include a recapitulation table to reflect the number of staff assigned from the shift, additional personnel if applicable, staff using leave-time and staff off-post for other reasons. In addition, staff filling post assignments intermittently (for less than a full shift) should be clearly identified on the daily roster, including the time in which the staff member filled the post.

### **Staffing Recommendations**

The most significant concerns reported by facility personnel regarding overall staffing involved the impact staff vacancies was having on the facility. Specific issues mentioned by staff included staff turnover rates were resulting in a large percentage of inexperienced staff filling both front-line and supervisory posts; the opportunity to deviate from providing strictly minimum post responsibilities was not feasible because staff were either new or often filling more than one post. The ability to accomplish necessary additional security functions such as conducting pro-active, non-routine security initiatives was limited to non-existent, and the increasing reliance on staff working extra hours to meet existing responsibilities was in their perception leading to a public safety issue.

### **Post Assignment Enhancements**

In reviewing current operational practices supported by daily rosters and staff interviews to meet the mission of the facility additional security staff should be made available to fill established post assignments on a more consistent basis. An updated recommended post chart has been developed to identify essential post assignments based on the current mission of Ridgeland when fully operational.

The following posts are key assignments that were not consistently being filled at a level to meet established responsibilities.

**General Population Housing Units.** A major concern noted in the daily rosters was in the number of staff assigned to the inmate housing units. The general population housing units each have a maximum capacity of approximately (270). Inmates are housed on two separate wings. When the officer is on one wing it is impossible based on building design to observe the activity level on the other wing. In reviewing available documentation, conducting interviews with staff and personal observation it appears there is normally between one and two front-line staff assigned to each general population unit. In addition to the front-line staff there may be a unit manager and/or unit counselor assigned depending on the time, day and whether they are meeting other responsibilities. The unit managers and unit counselors are scheduled to work an 8-hour shift five-days per week and are not always in the housing unit. Current responsibilities for the unit management staff are designed to be different from the housing unit officer; however, based on staffing levels they routinely fill front-line post assignments.

Taking into consideration the full scope of responsibilities of a correctional officer assigned to a housing unit, the capacity of each housing unit, the building design, separate living areas, dayroom schedules, and the security classification of inmates being housed, a minimum of three front-line staff and one sergeant should be assigned during the day shift seven days per week. During the night shift when scheduled activity levels are reduced a minimum of two front-line staff and one sergeant should be assigned. Having one or two officers on the day shift assigned to a housing unit as is the case at Ridgeland jeopardizes the opportunity to meet established post responsibilities and the ability to maintain a safe and secure environment.

**Yard/Escort.** Ridgeland is a campus-style institution with four general population housing units, programs and service areas surrounding a large open courtyard. To get from the housing unit to most program activities and services inmates are required to walk through the open courtyard. It is essential, and a fundamentally sound practice that security staff be present to monitor and control the inmate movement throughout the facility. On the day of the site visit the shift commander was the only security staff member available to observe and control inmate movement, preventing that staff member from focusing primarily on running the entire shift. Dedicated yard officers should be consistently assigned to the courtyard to assist in monitoring existing inmate movement, provide roving physical plant security and serve as responders throughout the facility;

**Inmate Transportation and Hospital Coverage.** Providing inmate transportation for medical and/or court mandated issues is part of the daily responsibilities of operating the facility. Most transports occur during the day, Monday through Friday, except for emergency transports that may occur at any time. During the 12-week period from July 5 – September 26, 2017 staff completed (109) separate off-ground transports ranging from no transports to having five transports on a given day. Each transport requires a minimum of two certified staff that have at least one year of service. When at-risk inmates are being transported outside the facility, by policy, a supervisor may be required; To meet these transport responsibilities current operational practice involves pulling staff from both the 8-hour shift and 12-hour shift, depending on the number of transports required. These are staff that may be initially assigned to areas such as inmate housing, contraband control or yard patrol.

Staff reported there was no designated transportation team at Ridgeland although there are frequent workload responsibilities. The number of staff required to provide transportation fluctuates, as it is based on the number of transports scheduled and the security classification of the inmate being transported. Based on a review of the number of transports during the reporting period, an average of (8) frontline staff are being recommended to consistently meet the existing workload responsibility;

**Perimeter Posts.** Allendale CI security personnel are frequently used to fill external post assignments at Ridgeland including the mobile perimeter patrol, bus transport and the vehicle gate post due to in-house staffing levels. During the 60-day period of 7/22/17 – 9/19/17 a total of 1,197.5 hours of overtime was reported by Allendale staff to fill Ridgeland post assignments. Staff from facilities from other than Ridgeland are generally restricted to filling perimeter-related post assignments. As part of the analyst recommendation, all perimeter post assignments are included in the recommended post chart for Ridgeland.

**Post Relief Personnel.** In view of available staffing levels at Ridgeland, staff assigned to the 12-hour shifts most often do not receive a rest or meal break during the shift. There is normally no staff available to provide the relief. State and federal regulations do not mandate employers to provide breaks; however, SCDC policy does<sup>40</sup>. Under the circumstances and based on existing staffing practices where most front-line staff are not only filling one post assignment they are routinely filling two. Establishing “Security/Relief” posts that include providing a brief 30-minute break per 12-hour shift can result in more productive personnel;

**Front Lobby.** All foot traffic, including staff and visitors entering the facility are required to be processed through the front lobby. This is the first security point of the facility to be reached after leaving the parking lot. The front lobby contains both a metal detector and property scanner and all individuals are subject to be searched prior to entering the secure portion of the facility.

On the day of my site visit no staff were initially present. A review of daily rosters reflects that normally no staff are permanently assigned to the area. It appears to be a post that is often filled intermittently. Staff reported that when someone arrives at the institution personnel from main control contact staff that may be nearby and notify them their assistance is needed at the front lobby.

This is directly the result of not having sufficient personnel to fill all required post assignments. This post should be considered a critical post to be filled during key time periods, and

**Shift Relief Personnel.** The relief factor established for Ridgeland reflects over the past three years assigned staff are available to fill a post approximately 77% of their scheduled time.

The rest of the time staff are using benefit time or are off-post. Shift relief factors are only provided for seven-day front-line post assignments. Based on staffing levels and the fact that the average employee is not available to fill a post approximately 20% of the time post assignments go unfilled.

#### **Shift Relief Factor (SRF)**

An updated shift relief factor has been developed for Ridgeland based on data provided by personnel assigned to the Research and Information Management Division (RIM). The shift relief factor (SRF) represents the number of staff required to fill a post assignment throughout the year based on the post hour requirements divided by the number of hours that the average employee assigned to the post is available. The SRF provides a reference as to how many FTE are required to meet post responsibilities. Staff attendance, off-post hours and leave-time results are inputted into a department recognized electronic data base and transferred into an automated system that can identify the shift relief factor.

<sup>40</sup> SCDC Policy ADM-11.21 Regular Working Hours and Overtime.

The SRF electronic workbooks have been set up to allow the user to specify the institution and hours per shift which will automatically recalculate the SRF accordingly.

The SRF calculation for this project is based on the following:

- All security staff (cadets – major) who were assigned to the institution during the entire year;
- The blended work schedule, including the use of both an eight-hour administrative shift (160 hours) and the straight 12's (168 hours) schedule is applied to determine the SRF;
- The three most recent completed years that was available at the time the report was being prepared. This included 2015, 2016 and 2017. The purpose of evaluating data from the past three years instead of one year minimizes the chances the SRF will be influenced by one or more unusual factors or outliers.

At Ridgeland, the overall use of "leave-time" has increased over the three-year period.

- Other-Time (FMLA, Military, Injury, etc.): In 2017, the average full-term security employee used (18.4) hours of other-time, compared to (9.02) hours in 2016 and (8.29) hours in 2015.
- Sick-Time: In 2017, the average full-term security employee used (106) hours of sick-time, compared to (111) hours in 2016 and (93) hours in 2015;
- Annual-Leave (vacation): In 2017, the average full-term security employee used (109) hours of annual-leave, compared to (100) hours in 2016 and (103.7) hours in 2015;
- The SRF is reflective of the facility being fully staffed; and
- Most posts recommended are considered relief posts. Refer to Appendix A for the detailed formula used to determine shift relief factors and the post chart appendix to identify specifically which posts are considered relief posts.

<b>Ridgeland Updated Shift Relief Factors – 2018</b>					
<b>Average 2015, 2016, 2017</b>	<b>8 Hour Shift 5-days</b>	<b>8 Hour Shift 24/7-Days</b>	<b>12-Hour Shift Modified (160 hrs.)</b>	<b>12-Hour Shift Straight (168 hrs.)</b>	<b>12-Hour Shift Straight 12-hr. shift</b>
<b>Institution</b>					
<b>Ridgeland CI</b>	<b>1.29</b>	<b>5.43</b>	<b>5.32</b>	<b>5.02</b>	<b>2.51</b>

A shift relief factor of 5.02 can be translated to reflect that in one year an average of 5.02 staff will be required to fill one 24-hour post assignment when applying the 12-hour shift schedule.

### Staffing Level Recommendations

A recommended post chart has been developed to identify the number of security staff recommended to meet the current mission of the Ridgeland Correctional Institution when fully operational. As the mission changes the staff requirement may also change.

The staffing level recommendation is based on applying the following:

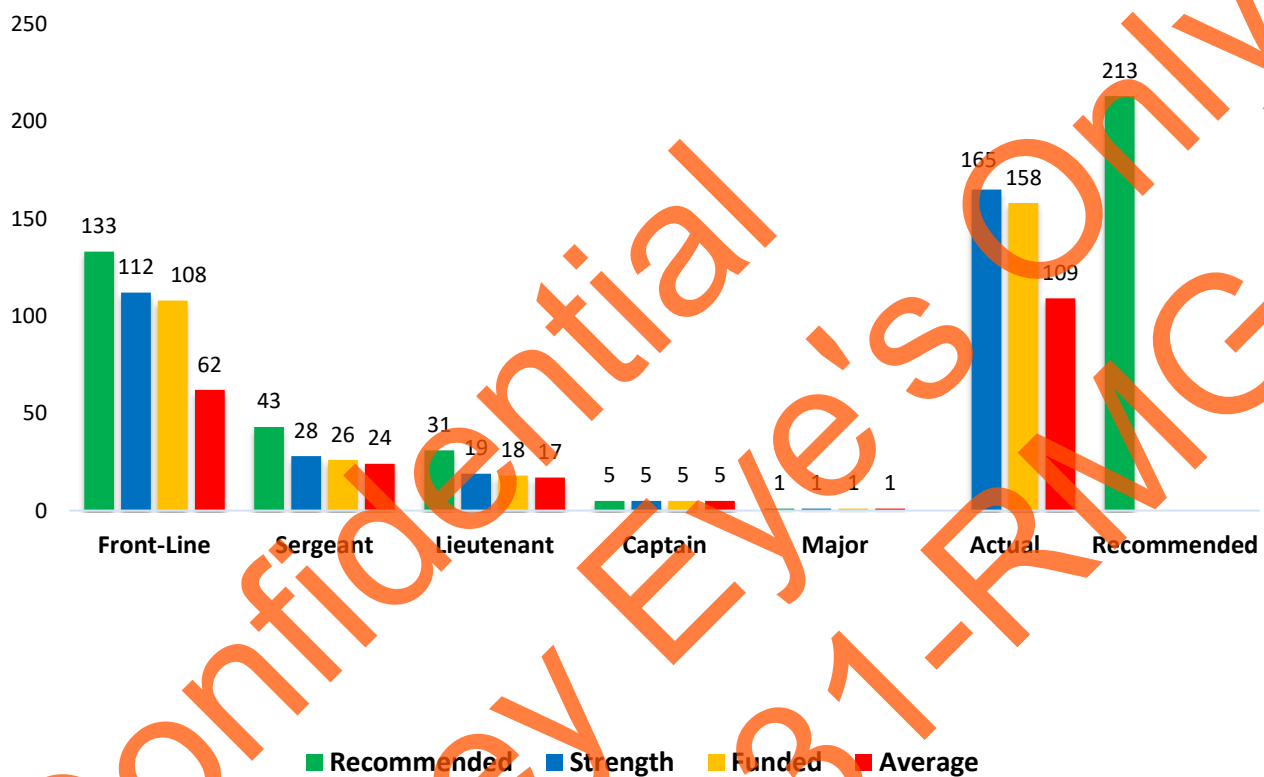
- A blended work schedule consisting of a 12-hour work schedule (168 hours) and an 8-hour (160 hours) administrative schedule;
- A 28-day pay cycle applying Section 7(k) of the Fair Labor Standards Act (FLSA) to determine the overtime threshold;
- An updated shift relief factor based on the most recent available three-year average leave-time and reported authorized time unavailable to fill a post, i.e. staff training, hearings, meetings;
- The facility being fully operational including staffing all existing housing, program and service areas;
- The facility continuing to operate under the established policies and mission at the time of the review; and
- Taking into consideration security staffing related requirements as stipulated by national standards, court orders, settlement agreements, state and federal laws.

<b>Ridgeland Correctional Institution Security Staffing Recommendations</b>	
<i>Position Classification</i>	<i>FTE</i>
Major	1
Captains	5
Lieutenants	31
Sergeants	43
Front-Line Staff	133
<b>Total</b>	<b>213</b>

The recommended security staffing level for the Ridgeland Correctional Institution is 213. The facility had been operating at 51.2% of the recommended level during the above reporting period. A detailed listing of recommended post assignments can be found in the appendix.



**Ridgeland Correctional Institution  
July 2017 - December 2017  
Average Staff by Position Classification  
Recommended Levels**



## **Turbeville Correctional Institution**

The Turbeville Correctional Institution (TCI) is a state operated level 2 facility located approximately 65 miles east of Columbia in the town of Turbeville, South Carolina. The facility was opened in 1994 and serves as one of South Carolina's adult male medium security correctional facilities. The current reported operating capacity at Turbeville is 1,377 and the average daily population during the last six months of 2017 was 1,030. One housing unit had recently been closed (October 2017) due in part to limited available staffing levels reducing the current operating capacity.

While most of Turbeville's inmate population is considered medium custody, approximately 15% of the inmates were classified as minimum (1B) and 3% were considered maximum custody. At the time of the review approximately 10% of the total population was reported to be on a mental health caseload.

The Turbeville Correctional Institution is the primary facility within the SCDC to provide housing, programs and services for younger adult males. This includes inmates recently transferred from the Department of Juvenile Justice, inmates 17 years of age, inmates sentenced under the Youthful Offender Act and inmates participating in the Shock Incarceration Program. In addition, older adult males serving "straight-time" are housed separately at the facility.

The mission of the facility is well diversified and as a result maintaining separation between the inmate classifications and providing mandatory programming and services is essential to the operations of the facility.<sup>41</sup> Facility management maximizes the use of the inmate housing unit designs that allow for separation within each housing unit. The following inmate classifications were being housed at TCI on the date of the on-site assessment:

- Youthful Offenders;
- Restricted Housing Youthful Offenders;
- Addictions Treatment Program Youthful Offenders;
- Shock Incarceration Program;
- 17-year old's;
- Department of Juvenile Justice (DJJ) recent transfers;
- Restricted Housing Unit Straight-Time;
- Faith Character-Based Program;
- Litter Crew;
- Crisis Intervention;
- Addictions Treatment Program Straight-time;
- Infirmary; and
- General Population.

<sup>41</sup> South Carolina Code of Laws Title 24-19-60. Youthful Offender Act

In addition to providing a secure environment, varying degrees of program services and opportunities are available to the inmate population depending upon their individual classification and status. These programs have been integrated into the daily facility schedule. Such programming and services include: ABE/GED; Education Finance Act (EFA) Program; Library/Law Library; Religious Education; Visitation; Canteen; Recreation; Vocational Education; Mental Health Services; Faith Character-Based Program; Horticulture; Commissary; Volunteer Services; Behavioral Health Counseling; Addictions Treatment; Sex Offender Treatment and facility work programs.

The physical plant at Turbeville was initially built as a minimum-security facility and has been upgraded to include a reinforced perimeter fence with a roll of razor ribbon, concertina wire, electronic surveillance equipment, high-mask lighting, vehicle access gate, mobile perimeter patrol and an alarm detection system.

Inside the perimeter are a variety of buildings and open space provided to help meet existing responsibilities. The physical plant contains the following: Secure Front Gate; Outer Perimeter Road; Administrative Services Building; Main Control; Medical; Maintenance/Vehicle Gate Area; Support Services Building; Education/Library; Second Education Building; Multi-Purpose Building; Restricted Housing Unit; General Population Units; Greenhouse; internal fencing and gates and a large open yard located in the center of the facility.

Food Services are normally provided to the general population inmates in the main cafeteria located in the Support Services area. Staff reported the evening meal was being provided in the housing unit due to limited staffing levels.

All inmate movement was considered controlled movement and the type of movement varied based on the inmates' classification, the purpose for the movement, destination and time of day. A combination of line movement (food services), escorted, supervised and the use of passes (OTR's) was all being used.



## Housing Unit Designs

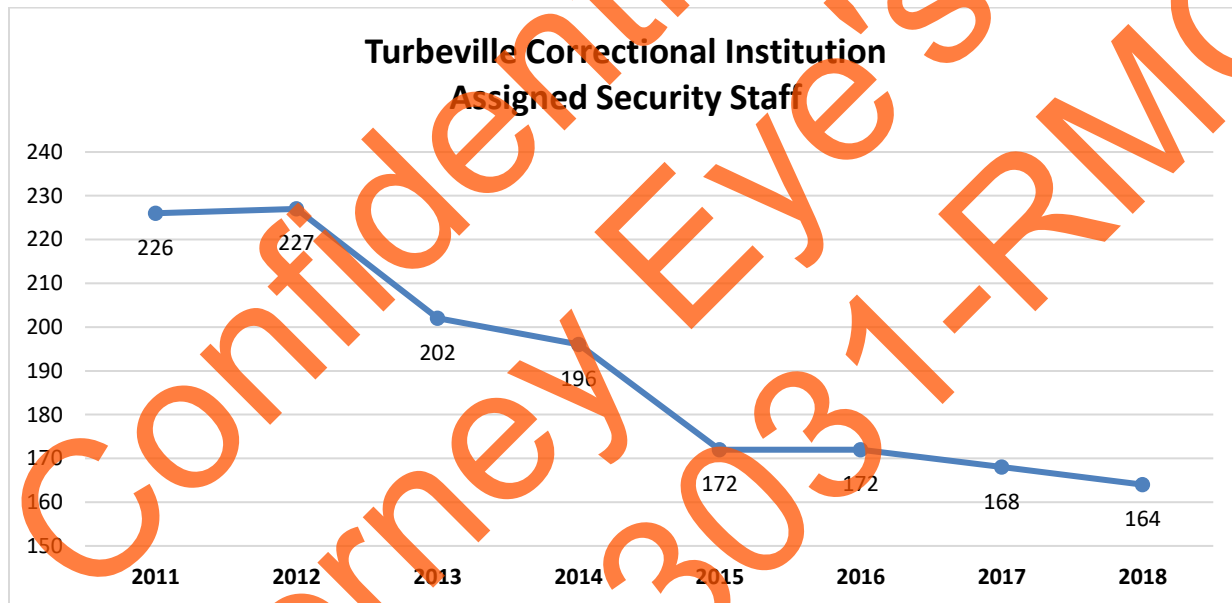
There are four housing unit designs at the Turbeville Correctional Institution. All the housing units contain secure cells as dormitory style housing is not available at this medium-security facility. The housing unit designs are consistent with nationally recognized practices for a level 2 facility. In total there were eight inmate housing areas at TCI. One of the (*X-Shaped*) housing units was not being used due in part to limited available staffing levels.

- Direct Supervision Units.** The general population housing units on the date of the review consisted of four direct supervision two-tier units similar in design. The living areas are referred to as “wings” as they represent one of two housing areas within each unit. The living areas contain double occupancy cells, dayroom space, showers and an open-counter officer work station. Total capacity for each wing in the four similar designed housing units is approximately 136. In the front center of each unit is a secure indoor sally port and staff working space. In the back of each unit located between the two wings is an open-air recreation yard.
- Indirect Supervision Unit.** There are two indirect supervision multi-level general population units that each have an operating capacity of 256. One of the units referenced as “Rimini”, was closed due in part to staffing availability. An elevated secure control center is centrally located in the unit surrounded by security glazing and four separate living areas (wings). Staff assigned to the secure control room can view the activity in all four wings. Each wing contains double occupancy cells which are equipped with beds, toilet and a wash basin. Showers, dayroom and passive recreation space is available within each living area. The one operating unit was used to house strictly younger offenders, including the Shock Program; select Youthful Offenders; DJJ transfers and 17-year old’s. One wing within the unit was considered the Restricted Housing Wing for individuals assigned to the housing unit.
- Infirmary.** The infirmary is in the medical unit and consists of multiple cells/rooms with a total operating capacity of eight. On the day of the site visit there were seven inmates assigned to the infirmary.
- General Population Restricted Housing Unit (RHU).** The RHU is a single-story building which consists of a secure entrance sally port and four separate living areas surrounding a control room strategically located in the center of the building. Control room staff is responsible for providing back-up support to the wing officers, distribute security equipment, maintain communications using a video monitor, radio and telephone and activate an electronic door access control panel that operates the security doors within the unit. Individual showers controlled by security staff are in each cell as well as beds, a toilet and wash basin. Inmate telephone access is provided in the unit and outdoor recreation is provided in a secure area near the building. One wing in the unit was being used to house general population inmates assigned to work details located outside the perimeter fence.

## Security Staffing Profile

On the date of the site visit (*November 29, 2017*), there were (166) full-time security staff positions filled at the facility. The approved *funding level* was (231) and the recognized *authorized strength* was (255). The approved *funding level* is the number of personnel in each position classification approved by the department to be filled. The *authorized strength* is the current recognized number of security positions identified to operate the facility safely. The *authorized strength* is determined by the SCDC Division of Security with feedback from facility management personnel.

Security staffing levels have been a critical concern at Turbeville for an extended period. In January 2012 the security staffing level was reported as (227) or approximately 94% of the recognized authorized strength at the time (241). This was a high point for the seven-year period from January 2011 to January 2018. On January 1, 2018 the reported security staffing level was (164), a 28.6% decrease from January 2012. As shown in the chart below there has been a continuous decline in the number of filled staffing positions from January 2012 to January 2018. The figures below identify the total number of filled security positions reported on January 1st of each year.



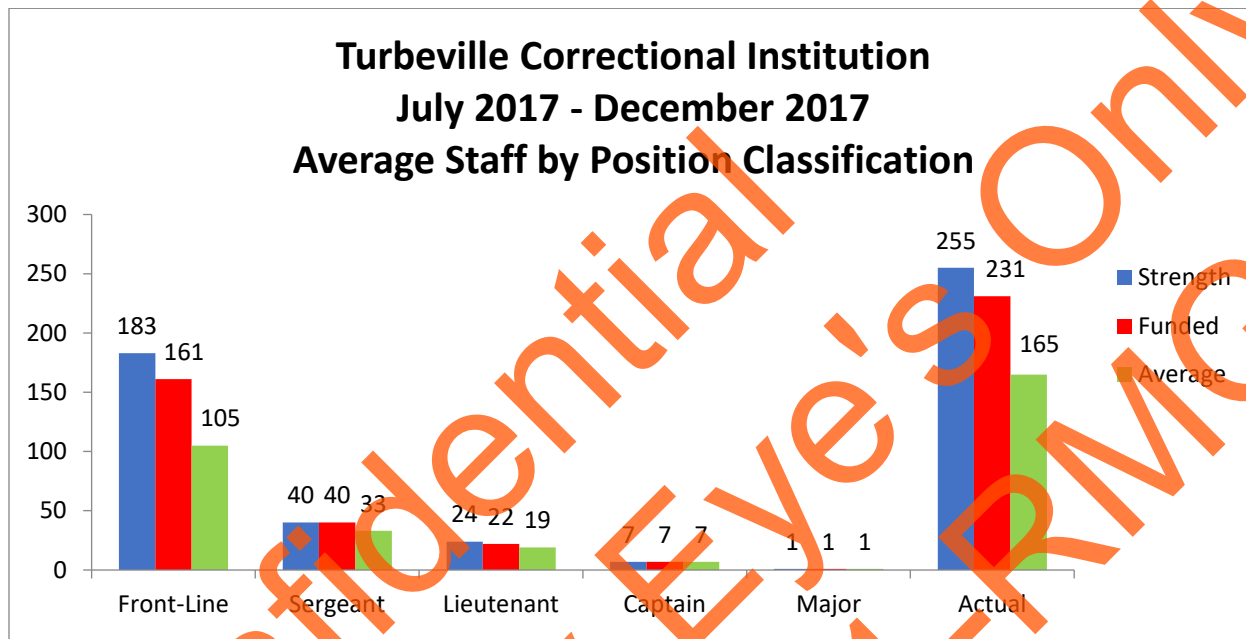
Source: SCDC RIM

The primary difference in the security staffing levels at Turbeville since 2012 is in the average number of **front-line positions that were filled**. Front-line positions include cadets, correctional officer I/II's and corporals. A significant decrease in front-line security (FLS) staffing levels began in 2012 and continued to decline through 2015. In January 2016 TCI made strides in increasing the FLS staffing levels to an average of (114) and continued to remain in that range throughout the duration of 2016. During calendar year 2017, the **average number** of filled FLS positions fell to (105). This represents a decrease of approximately 35% compared with the average number of FLS filled positions in 2011 and approximately 64.3% of the department recognized authorized strength (255).



## Recent Staffing Trends

The following chart depicts the average staffing levels for the period from July 1, 2017 to December 1, 2017. The facility was operating at a level where on average there were approximately (66) funded positions that were not being filled. These were funded positions that had been approved to be filled by the department. In respect to the recommended *authorized strength* the facility has been operating with an average of (90) positions unfilled during the same reporting period. Front-Line positions identified in the table include cadets, officer I/II's and corporals.



Source: SCDC RIM

As noted the largest number of vacancies (84.8%) was found in the front-line positions. These are the positions that normally have the most frequent direct contact with inmates and routinely include post assignments such as housing units, transportation, yard, inmate escorts and direct security within a specific area.

As noted the average number of filled full-time security staff positions at the Turbeville Correctional Institution was (165) during the reporting period. This represents the number of staff assigned; however, does not represent the number of staff considered, "post eligible". At TCI there were eight security staff on extended leave status that were unavailable to fill a post assignment on the date of the on-site assessment. This included (2) sergeants, (2) corporals and (4) officers. During the five-month period of July 1 through December 1, 2017 an average of 6.7 security staff were reported to be on extended leave status.

In total, the facility has been operating at approximately 71.4% of the approved funding level during the five-month reporting period. As a result, the facility has consistently operated without all required post assignments being filled and has been operating at significantly deficient levels since 2012.



## Operational Initiatives in Response to Staffing Levels

Based on staffing levels facility management personnel have deviated from the original staffing plan and implemented several security initiatives to maintain minimum operations at the facility.

These initiatives routinely include the following:

- **Staff responsibilities are expanded beyond the established post order.** Each post assignment includes a written post order that describes the normal responsibilities associated with the post (OP-22.24)<sup>42</sup>. Under normal circumstances security staff are responsible for one post at a time. Staff assigned to existing posts are routinely required to be responsible for meeting both their assigned responsibilities and responsibilities of an additional post. This often results in fewer and less thorough pat-down searches, fewer building inspections, limited inmate escorts, delays and or cancellations in program and service delivery;
- **Staff are augmented to leverage existing personnel resources.** Since 84.8% of the vacancies were in the front-line staff positions personnel outside those position classifications frequently are required to fill front-line staff post assignments. Daily shift assignment rosters reflected sergeants, lieutenants, counselors and unit managers are routinely used to meet front-line post assignments, limiting the amount of time available to supervise or perform their normal responsibilities;
- **12 hr. Shift Supervisory personnel routinely work 14-15 hr. days.** To meet existing responsibilities, shift supervisory personnel routinely arrive prior to the start of their assigned shift, review staff availability, facility schedules, shift workload, manage the shift and remain after their shift is normally over to ensure effective communication and staff coverage. Lieutenants and captains are considered exempt employees and not eligible to receive overtime compensation;
- **Day shift security personnel routinely work 14 hrs. per day.** Security personnel assigned to the day shift routinely remain at the facility until the initial evening institutional count checks which is usually two hours after their shift is scheduled to end;
- **The facility is placed on full or partial lockdown to limit movement outside the cell and reduce staff workload.** During the first eleven months of calendar year 2017 the facility reported they were on full or partial lockdown a total of 133<sup>43</sup> days due to staff shortages. This resulted in limited access for the inmate population to programs and services during those days;
- **Out of cell inmate activity is limited immediately prior to the 5:00 pm roll call count.** Inmates assigned to general population units are often restricted to their cells just prior to roll call count to limit inmate movement and reduce staff workload responsibilities. Staff reported one inmate is allowed out of their cell at a time in each wing, to take a shower when an officer is present. Inmates assigned to the Character-Based program are allowed out of their cells into the common dayroom area of the housing wing until 11:00 pm;

<sup>42</sup> SCDC Policy OP.22.24 Post Orders.

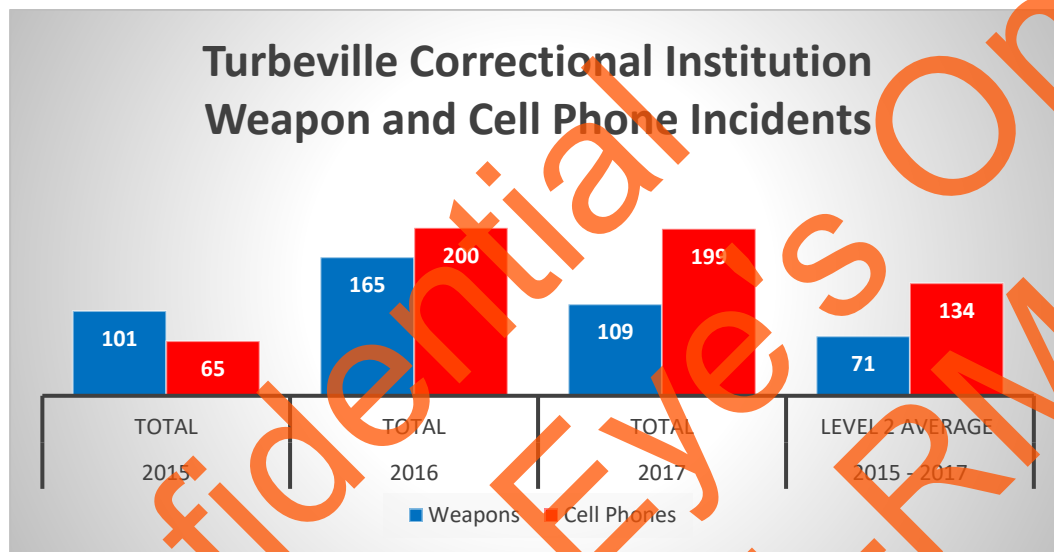
<sup>43</sup> SCDC Operations. December 2017 Lockdown Statistics.

- **Personnel are often compensated at an overtime rate to complete required staff training.** Uniformed security personnel are routinely scheduled to complete required training on their off-days resulting in additional overtime expenditures;
- **Post Assignments go unfilled.** Daily shift assignment rosters from July 2017 through September 2017 reflect all recommended post assignments in the housing units, restricted housing units, transportation, perimeter, cafeteria and yard are not always being filled;
- **Evening meal is generally served in the housing unit.** The evening meal is routinely served in the housing units instead of the dining hall to limit mass inmate movement throughout the facility;
- **Staff assigned to the 12-hour shifts are routinely scheduled to work a minimum of 168 hours in a recognized 28-day pay cycle.** Staff assigned to the 8-hour shifts are routinely scheduled to work 160 hours in the same recognized pay cycle. Staff working the additional 8 hours are compensated at straight-time for working the 8 hours. Initial Department practice was to provide staff assigned to the 12-hour shifts, 8 hours off per pay cycle; however, this practice was no longer occurring;
- **Staff initially not scheduled to work fill vacant post assignments beyond their normal working schedule.** During the first eleven months of 2017 the facility had \$759,928 (rounded) in overtime expenditures for security personnel. During the same period in 2016 the facility had \$390,466 (rounded) in overtime expenditures for security personnel. This represented a 94.6% increase in overtime expenditures during the two eleven-month periods. Most of the increase in overtime is the result of a reduction in the number of front-line staff assigned (**averaged 114.4 in 2016 v. 104.4 in 2017**), staff not initially scheduled filling vacant post assignments, staff attending required training on their off-days and staff temporarily filling a post assignment after their shift due to late reliefs;
- **Close Housing Unit.** One of the two indirect housing units was closed;
- **Filling Mandatory 24-hr. post assignments intermittently.** The Division of Security has developed a post chart as a guideline to identify post assignments required to be filled and when they are to be filled. Existing operational practices frequently result in all posts not being filled and staff assigned to non-stationary posts, intermittently filling posts such as the yard and/or some of the housing unit posts only during peak hours, and
- **Shift breaks are not provided.** Staff assigned to the 12-hour shift schedule rarely receive a recognized break from their post assignment during the shift. Federal (Fair Labor Standards Act) and state labor laws do not require the employer to provide a meal period or break to employees. SCDC Administrative policy states:

*(ADM-11.21 Regular Working Hours and Overtime) Section 1.1 states: The official work schedule for security positions will be either, 1.1.1 eight (8) hour shifts or 1.1.2, twelve (12) hour shifts on a 28-day cycle, including at least one 30-minute meal period each shift.*

## Demonstrated Risk Factors

**Contraband Incidents.** The introduction and presence of contraband in a correctional facility has always been an issue and a primary management concern when operating a facility. It often leads to unauthorized movement, destruction of property, compromised staff, public trespassing, criminal activity, violence and escape. At Turbeville there had been recent history of a weapon used to stab an inmate both on New Years' Eve 2017 and in January 2018. The 2017 incident resulted in the death of an inmate. As shown in the chart, weapons and cell phone related incidents at Turbeville have exceeded the average identified for the level 2 facilities reviewed.



Source: SCDC RIM

In reviewing staff deployment patterns and interviewing personnel at the facility there is no indication that the reason for the higher level of contraband at Lieber is due to more shakedowns occurring. There were three authorized positions dedicated for contraband control at the facility.

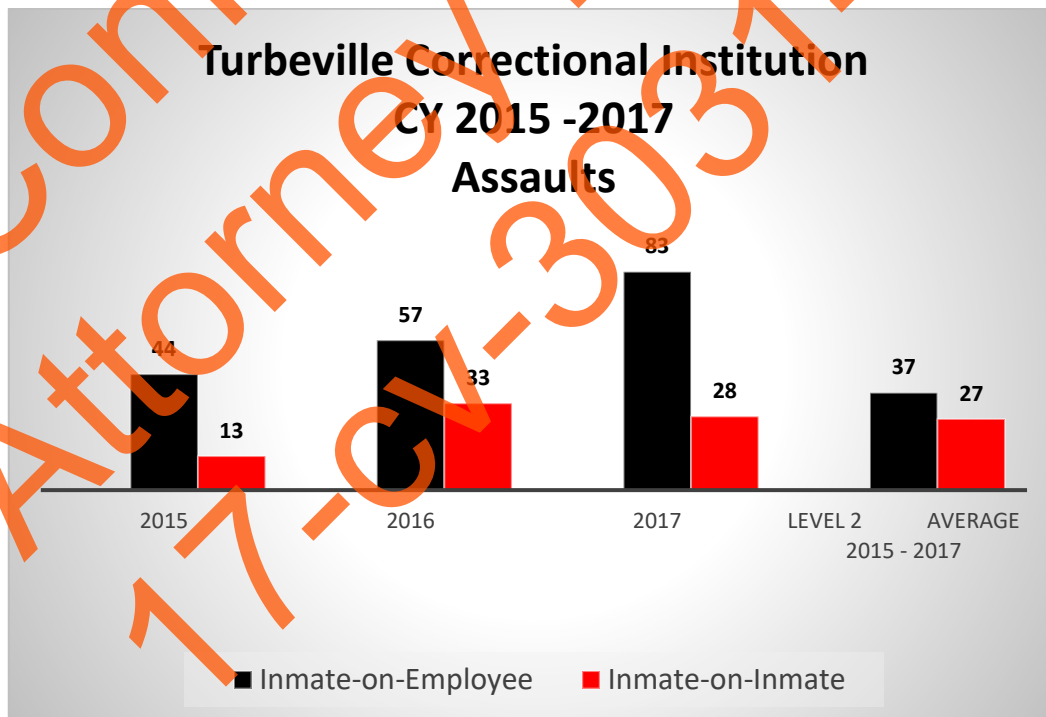
One of the keys to an effective contraband prevention and detection plan is to establish a realistic plan based on existing resources to prevent, identify and detect contraband as a facility-wide goal. Part of the plan should ensure fundamental practices including searches, patrol, detection and intelligence gathering are consistently incorporated into daily workload activities by all staff, not just those assigned to contraband control. Once an employee is held responsible for more than one post assignment at a time their ability to carry out all the necessary functions diminishes. The department has recognized this concern and has been vigilant in their pursuit to confront this issue.

The Director has been at the forefront on a national basis calling for federal support to repeal federal laws to allow cell phone jamming in correctional facilities. The Communications Act of 1934 and the Telecommunications Act of 1996 prohibit the operation of cell-phone-jamming equipment by any person, including state and local officials.

**Assaults.** A second risk factor that is often associated with staffing levels is the number of assaults that occur at a facility. The number of staff, the experience level of staff and training is often referenced as one of the causes of prison violence. Although there is no internal or external study that supports insufficient staffing as the cause of violence, in most cases it should be considered a contributing factor. Having a sufficient number of well-trained knowledgeable staff, assigned to appropriate locations should be the goal of every facility. The assumption is that if properly trained staff were present and available as identified in the recommended staffing plan, the chances of an incident resulting in an assault may not be as high. This may not always be the case; however, it should be considered a fair assumption.

It has been my experience, most, but not all inmates contemplating committing an assault look for opportunities to carry out the act without being detected. Having a total of two staff assigned to a 250-bed housing unit which contains limited to no electronic surveillance support or having one to two staff members on the courtyard during movement periods creates an environment where the perceived opportunity to commit an assault can initially go undetected. This appears to be the case at Turbeville. There is simply not enough staff supported by available surveillance equipment to consistently cover all the required areas and send the message to the inmate population that when involved in criminal activity the risk of being apprehended and the penalty for the same will be appropriate.

At Turbeville the number of assault related incidents involving inmates on-employees reported in 2015, 2016 and 2017 was higher than the overall average reported for all the other level 2 facilities. The number of inmate-on-inmate assaults was similar to the average. The chart below reflects assaults occur at a higher than acceptable level. As previously noted an inmate was fatally stabbed on New Years' Eve 2017 and another inmate was stabbed and treated at an outside hospital in January 2018. This may be considered a contributing factor to staff turnover rates, number of qualified applicants and whether staff wish to continue to be a part of this type of work environment.



Source: SCDC RIM

## Key Positions

Administration. The approved administrative core positions for the facility include a superintendent (Warden) and two assistant superintendents (Associate Warden of Operations/Associate Warden of Programs). On the date of the on-site assessment all the administrative core positions were filled. The warden was debriefed and interviewed at the start and conclusion of the on-site assessment and was available throughout the day to discuss facility operations and to clarify pertinent staffing-related questions. After the initial on-site assessment, the warden was contacted via telephone to further discuss pending issues.

Supervisor Posts. The highest-ranking uniformed security position is the major. On the date of the site visit the major position was filled. This position is routinely considered the Chief of Security and reports to the associate warden of operations. On the day of the on-site assessment the major provided the security escort throughout the facility.

Seven captains were assigned to the facility during the reporting period of which six served as housing unit managers and one served as the Shock Incarceration Program Captain.

Each of the (4) 12-hour shifts are supervised by a lead lieutenant who is normally assisted by at least one additional lieutenant assigned to the shift. The shift supervisor is responsible for overseeing shift operations, deployment of security personnel and meeting facility security needs as they arise. During the reporting period **there were three vacant lieutenant positions.** In addition to the lieutenants all the 12-hour shifts have at least three sergeants available to assist in providing staff supervision.

The 12-hour day shift starts at 5:45 am and is scheduled to conclude at 6:00 pm. The evening shift starts at 5:45 pm and normally concludes at 6:00 am. Each 12-hr. shift includes a paid fifteen-minute shift briefing prior to proceeding to their assignment.

TCI also applies a “blended” scheduling model that includes security staff being scheduled to work an 8-hour shift. Under blended scheduling the supervisor post assignments that have more variable levels of work are assigned to an 8-hour post. The 8-hour shift, known as the *C-Card* is supervised by the major.

At Turbeville the 8-hour shift supervisory post assignments primarily include the following: Unit Managers, Counselors, Training, Environmental Health and Safety, Yard, Housing, Restricted Housing Unit Supervisor, Operations, Contraband, Armory/Key Control, Cafeteria and Shock Incarceration. Most supervisory staff assigned to the 8-hour shift are initially scheduled to work from 8:00 am to 4:00 pm Monday through Friday; however, various starting and ending times are used to maximize coverage to best meet the needs of the facility.

In the housing units at TCI the unit management concept has been adopted. Unit Managers consist of veteran security personnel that fill a captain position on the roster. These non-uniformed supervisors serve as the housing unit administrator and are responsible for managing activities and staff assigned to a specific housing unit. Working with the unit manager may include a non-uniformed lieutenant and/or sergeant who serves as the assistant unit manager of a housing unit and as a counselor to inmates assigned to the unit. In total there were (6) unit managers and (11) unit counselors assigned throughout the facility during the review period.



Due to the limited number of uniformed security staff assigned to the housing units and the workload responsibilities associated with operating each housing unit, personnel assigned as the unit manager and counselor routinely deviate from their designed roles to fill a more traditional officer and/or sergeant role to address fundamental operating issues.

The reporting period of July 2017 to December 2017 reflected an average of approximately 36.4% of the filled security positions were considered supervisory positions. The approved funding level for security supervisors at TCI allowed for (70) positions of which on average (60) were filled. The sergeant position averaged seven vacancies and the lieutenant position averaged three vacancies during the reporting period. Turnover rates, the number of qualified candidates, local alternative employment opportunities and the lack of overtime compensation for the lieutenants were cited as contributing factors to consistent vacancies.

Front-Line Security (FLS) Posts. For this study, front-line security staff positions include cadets, correctional officer I/II's and corporals. Cadets are those uniformed individuals that are 18 to 20 years of age, have not received all the firearms training required of an officer and are limited in where they can be assigned. On the date of the site visit there were six cadets. Correctional Officer I/II's are the traditional front-line security staff member age 21 and over and once certified may normally be assigned to any front-line post assignment. Corporals are non-supervisory lead officers normally with a minimum of 18 months experience that may be assigned to any front-line staff post within the facility. Individuals in these positions normally serve as the lead employee when two or more front-line staff are working together. For the most part based on current practice and existing staffing levels the officer I/II's and corporals are frequently interchangeable when considering post assignments.

A review of FLS staffing levels reflected that **approximately 37% of the front-line security staff had less than one year of service.** This included both certified and non-certified staff. Security personnel with less than one year of service are normally not allowed to be assigned to transportation post assignments, the restricted housing unit or provide hospital coverage. Since less experienced staff are not normally assigned to post assignments outside the facility or in the restricted housing unit, a significant number of the post assignments including the general population housing units were being filled by inexperienced personnel.

Key post assignments where front-line security staff are normally assigned include: Front Lobby, Main Control, Perimeter Patrol, Transportation, Medical, Education/Library, Horticulture, Shock Incarceration, Personal Property, Contraband, Outside Detail, Visitation, Vehicle Gate and Housing Units. Some of these post assignments are required to be filled 24-hours per day, seven days per week, while others may be required to be filled for 12-hours, 10-hours, 8-hours or less per day, ranging between two and seven days per week. Shift schedules are designed to allow for the concentration of security staffing levels to be available at times when the workload and activity levels in a specific area are generally higher.

During the five-month reporting period the facility had been operating on average with approximately 65.2% of the funded FLS positions filled.

## Roster Management

Post Analysis. Roster management and staff scheduling at TCI are considered essential factors in the daily operation of the facility. In-house roster management for security positions are performed primarily by the major in concert with the shift commanders.



A post chart has been developed by the *Division of Security* as required by policy to identify recommended staffing levels and to guide facility personnel on where and when to fill identified post assignments.

The purpose of the post analysis is to clearly identify the current number of post assignments to be staffed based on the operational requirements of the facility. As the mission of the facility changes, workload responsibilities increase, decrease or procedural issues change, a new post analysis should be completed to update facility staffing requirements.

The department has recognized the changes at TCI. In 2011 and 2012 the department authorized strength was reported as (241); in 2013 and 2014 the authorized strength dropped to (232); in 2015 the authorized strength increased to (254) and has remained at (254) through 2017. The workload responsibilities identified for staffing specialized populations including both the Youthful Offenders and the Shock Incarceration programs, in part, were recognized by the department.

Shift Assignments. Facility management personnel at TCI have developed a shift assignment roster for security staff that identifies the names of the personnel assigned to each shift, their position classification and status. The *C-Card* (8 hr. shift) roster also identified the employee's normal post assignment. In addition, a shift assignment roster had been developed for the security staff assigned to the Shock Incarceration Program. This roster identified the name of the employee, position classification and their shift assignment.

A review of the November 2017 master shift assignment roster at Turbeville identified security staff were primarily assigned to one of five shifts. Each 12-hour shift had at least two dedicated lieutenants and three sergeants. Overall the (4) 12-hour shifts appeared to be appropriately balanced based on the total number of available staff assigned.

Daily Shift Roster. In addition to the shift assignment roster, daily shift rosters are also maintained for the 12-hour shifts identifying in more detail the actual staff assigned by day, their post assignment, staff on leave and responders. The daily shift rosters are designed to identify how scheduled personnel are utilized and provide a best practice tool for documenting staff accountability. Based on a review of over (25) sample daily post assignment rosters, there is no recapitulation data provided, no post classifications identified, or any consistent reference to staff being scheduled from another shift. This information is critical when identifying how staff assigned to the shift are being utilized and the staffing needs of each shift.

Completed daily rosters and personal observation revealed staff were being assigned to critical areas and there was no evidence staff were being assigned to posts that could be closed while mandatory posts were being left unfilled.

The primary issue concerning roster management was in the accuracy of the automated daily shift roster that is inputted into the Human Resources Electronic Management System.

To determine how all staff were utilized on a shift, the master shift assignment roster for the E2 shift was compared with a completed daily shift roster for the same shift. As a result, there were seven staff identified on the shift assignment roster that were not listed on the automated daily shift roster. How the seven staff were being deployed during the shift was not possible to determine when reviewing the automated daily shift roster. The major was able to secure the **hand-printed manual** daily shift roster and identified where six of the seven scheduled staff were assigned.

The (6) staff identified were listed on the hand-printed daily roster as assigned to a post; however, they were not inputted into the automated daily roster submitted to central office. In reviewing additional copies of manual and automated rosters provided the transferring of information into the automated system appears to be a concern at this facility.

The *C-Card* maintains primarily the automated daily shift roster that identifies the post number, post description, area, post type, sub post, responder, name of the employee, employee number, gender and if applicable leave status. Staff reported a manual daily shift assignment roster was not normally being completed for the *C-Card*. As a result, there is no reference to post classification levels or a recapitulation table for the *C-Card* shift.

Post Classification. By directive from the *Division of Security*, the facility post chart should identify post assignments as either, Pull Post Level I, Level II, or Level III (Mandatory) to assist shift supervisors when determining which posts can be temporarily collapsed or closed due to staff shortages, emergencies, overtime reduction efforts or other reasons deemed necessary by facility management. The classification of post assignments is designed to ensure certain post are shut down first.

In reviewing the sample daily shift rosters provided and interviewing staff it appeared all the critical posts identified in the *Division of Security* post chart were not consistently being filled.

The discrepancy between operational practice and recommended mandatory posts was primarily in the number of staff assigned when more than one post was recommended. For example, in the post chart the *outer perimeter patrol* post is identified as two posts to be filled during the night shift, seven days per week. Based on staff interviews and a review of completed daily shift rosters, one post is normally filled instead of two. The completed daily post rosters did identify (2) night shifts where two staff were assigned to the outer perimeter; however, during most nights one post is filled. Additional discrepancies between the operational practice and recommended level III (mandatory) posts include the following:

- **Housing Units (8).** The post chart recommends a total of eight front-line staff be assigned to the four housing units on a 24/7 basis. In respect to the four units based on the documentation provided, normally there were between four and five FLS assigned to the four units. Unit management personnel assigned to the *C-Card* were used to assist FLS during peak periods when needed.

### Staffing Recommendations

Facility personnel expressed concern with the impact staff vacancies were having on both the facility and staff. Specific issues presented, included staff turnover rates resulting in a large percentage of inexperienced personnel filling both front-line and supervisory posts; an increasing reliance on staff working extra hours each day to meet existing responsibilities and the resiliency of staff to consistently enforce policy appeared to be fading.

The human resource component of operating a prison is one of the most critical elements in maintaining an efficient and cost-effective operation. Having a strategic staffing plan that takes into consideration the mission of the facility, legal standards and physical plant design is essential. At TCI the effectiveness of the staffing plan has been hindered primarily by staffing levels that cannot effectively meet existing workload responsibilities.

As a result, administrative personnel have reduced workload levels (closed a housing unit) reduced inmate out-of-cell time, filled front-line post assignments through the augmentation of supervisory personnel and expanded existing staff responsibilities.

### **Recommended Post Assignment Enhancements**

In reviewing current practices supported by daily rosters and staff interviews to meet the mission of the facility additional post assignments need to be filled by qualified staff on a consistent basis. An updated post chart has been developed to identify essential post assignments that are recommended to be filled.

**General Population Housing Units.** A major concern noted in the daily rosters was in the number of staff assigned to the inmate housing units. The general population housing units each have a maximum capacity of 270. Inmates are housed on two separate wings. When the officer is on one wing it is impossible based on building design to observe the activity level on the other wing unless additional staff are present. A review of available documentation, interviews with staff and personal observation reflects there is normally between one and two front-line staff assigned to each general population unit. In addition to the front-line staff there may be a unit manager and/or unit counselor assigned depending on the time, day and whether they are meeting other responsibilities. The unit managers and unit counselors are scheduled to work an 8-hour shift, five-days per week and are not always in the housing unit or in the living area. Current responsibilities for the unit management staff are designed to be different from the housing unit officer; however, based on staffing levels they routinely fill front-line post assignments.

In view of the capacity of each housing unit, building design, separate living areas, dayroom schedules, workload responsibilities and security classification of inmates, a minimum of three front-line staff and one sergeant should be assigned during the day shift, seven days per week. During the night shift when scheduled activity levels are reduced a minimum of two front-line staff and one sergeant should be assigned. Having one officer assigned as is normally the case is inconsistent with the required workload level and jeopardizes the opportunity to consistently meet established post responsibilities.

**Yard/Escort.** Turbeville is a campus-style institution with six housing units, programs and service areas surrounding a large open courtyard. To get from a housing unit to most program activities and services inmates are required to walk through the open courtyard. It is essential, and a fundamentally recognized sound practice that security staff be present to monitor and control the inmate movement throughout the facility. On the day of the site visit there was one officer available to observe and control inmate movement throughout the courtyard.

Dedicated yard officers should be consistently assigned to the courtyard to assist in monitoring existing inmate movement, provide roving physical plant security in all areas of the facility and serve as responders.

**Post Relief Personnel.** In view of available staffing levels at Turbeville, most staff assigned to the 12-hour shifts do not receive a rest or meal break during the shift. There is normally no staff available to provide the relief, resulting in the post being closed or the staff member not receiving a break. State and federal regulations do not mandate employers to provide breaks. Department policy does identify staff should receive a 30-minute break. Under the circumstances and based on existing staffing practices where most front-line staff are not only filling one post assignment they are routinely filling two, establishing "Escort/Relief" posts that include providing a 30-minute break per shift is recommended in the updated post chart and may lead to more productive personnel, increased morale and a reduction in turnover rates.

**Kitchen/Dock.** TCI routinely requires supervisory personnel to assist in providing security supervision during meal periods. The cafeteria is divided into three primary sections, the dining area, serving line and kitchen. The kitchen contains a food preparation area, storage, office space and access to the loading dock. This area includes multiple blind spots, a high number of assigned inmates and access to outside the building including the dock area for the cafeteria, canteen and commissary. Food service personnel primarily focus on food preparation and delivery. No security personnel were consistently assigned to the kitchen/dock area which should be considered a high-risk area.

**Front Lobby.** All foot traffic, including staff and visitors entering the facility are required to be processed through the front lobby. This is the first security point of the facility to be reached after leaving the parking lot. The front lobby contains both a metal detector and property scanner and all individuals are subject to be searched prior to entering the secure portion of the facility. On the day of my site visit no staff were initially present. A review of daily rosters reflects that normally no staff are permanently assigned to the area. Staff reported that when someone arrives at the institution, personnel from the main control contact staff that may be nearby and notify them their assistance is needed at the front lobby. This is directly the result of not having sufficient personnel to fill all required post assignments. This post should be considered a critical post to be filled during key time periods.

**Shift Relief Personnel.** The shift relief factor allowance is not fully reflected in current staffing levels. Security personnel time-off is generally covered through assigning overtime, closing posts, or redeploying staff from other designated post assignments; the relief factor established for Turbeville reflects over the past three years assigned staff are available to fill a post an average of 78% of their originally scheduled time. The updated recommendation includes the recognition of a shift relief factor for most post assignments.

#### **Shift Relief Factor (SRF)**

An updated shift relief factor has been developed for Turbeville based on data provided by personnel assigned to the Research and Information Management Division (RIM). The shift relief factor (SRF) represents the number of staff required to fill a post assignment throughout the year and is based on the number of hours the post needs to be filled divided by the number of hours the average employee assigned to the post is available.

Staff attendance, off-post hours and leave-time results are inputted into a department recognized electronic data base and transferred into an automated system that can identify the shift relief factor. The SRF electronic workbooks have been set up to allow the user to specify the institution and hours per shift which will automatically recalculate the SRF accordingly.

The SRF calculation for this project is based on the following:

- All security staff (cadets – major) who were assigned to the institution during the entire year;
- A blended work schedule, including the use of both an eight-hour administrative shift (160 hours) and the straight 12's (168 hours) schedule;
- An average of the three most recent completed years that was available at the time the report was initially prepared.

This included 2015, 2016 and 2017. The purpose of evaluating data from the past three years instead of one year minimizes the chances the SRF will be influenced by one or more unusual factors or outliers.

At Turbeville, the use of “sick-time” has remained relatively stable over the past three years; however slightly higher than the overall average. In 2015 and 2017, the average full-term security employee used (112) hours of sick-time and in 2016 used (114) hours.

The use of annual leave-time (vacation) has increased significantly during the three-year period. In 2015, an average of (92) hours was used. In 2016, (108) hours and in 2017 (131) hours were used. The average full-term security employee worked approximately (5.5) fewer days in 2017 compared with 2015.

- The SRF is reflective of the facility being fully staffed, and
- Most posts recommended are considered relief posts. Refer to Appendix A for the detailed formula used to determine shift relief factors and the post chart appendix to identify specific post assignments being recommended.

<b>Turbeville Shift Relief Factors - 2018</b>			
<b>Average 2015, 2016, 2017</b>	<b>8 Hour Shift 5-days</b>	<b>8 Hour Shift 24/7-Days (160 hrs.)</b>	<b>Straight 12-Hour Shift 24/7 days (168 hrs.)</b>
<b>Institution</b>			
<b>Turbeville CI</b>	<b>1.33</b>	<b>5.57</b>	<b>5.13</b>

A shift relief factor of 5.13 can be translated to mean that for one year, an average of slightly more than five staff (5.13) will be required to fill one 24-hour post assignment when applying the straight 12-hour shift schedule (168 hours). A five-day shift relief factor for one 8-hour post assignment requires an average of 1.33 staff (160 hours) throughout the year.

### **Staffing Level Recommendations**

A recommended post chart has been developed to identify the number of security staff recommended to meet the current mission of the Turbeville Correctional Institution when fully operational. As the mission changes the staff requirement may also change.

The staffing recommendation is based on applying the following:

- A blended work schedule consisting of a 12-hour main shift work schedule (168 hours) and an 8-hour (160 hours) administrative schedule;

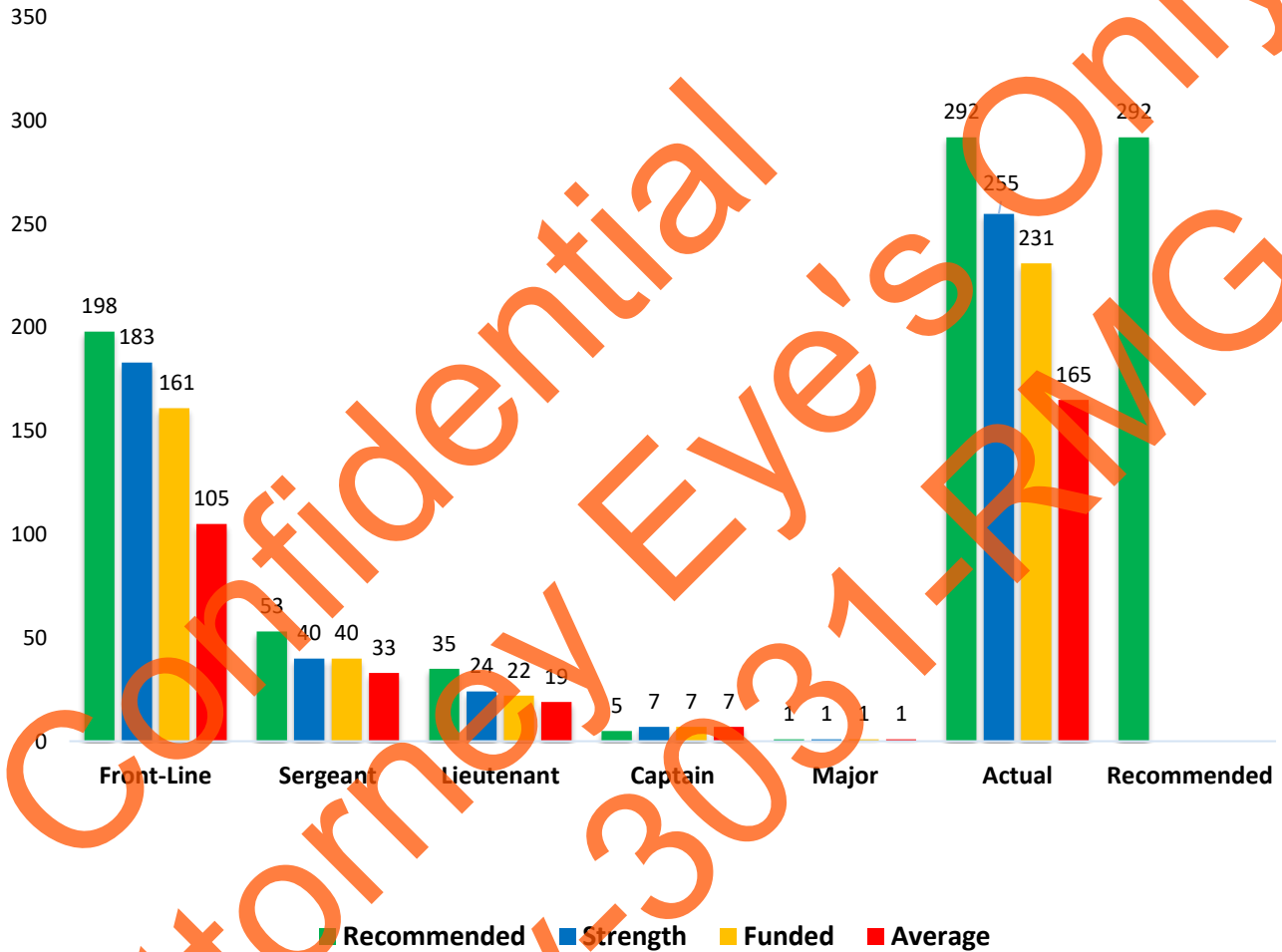
- A 28-day pay cycle applying Section 7(k) of the Fair Labor Standards Act (FLSA) to determine the overtime threshold;
- A shift relief factor based on the most recent available three-year average leave-time and reported authorized time unavailable to fill a post, i.e. staff training, meal break;
- The facility fully operational including staffing all existing housing, program and service areas;
- The facility continuing to operate under the established policies and mission at the time of the review; and
- Taking into consideration security staffing related requirements as stipulated by national standards, court orders, settlement agreements and state and federal laws.

<b>Turbeville Correctional Institution Security Staffing Recommendation</b>	
<i>Post Classification</i>	<i>FTE</i>
Major	1
Captains	5
Lieutenants	35
Sergeants	53
Front-Line Staff	198
<b>Total</b>	<b>292</b>

The recommended security staffing level for the Turbeville Correctional Institution is 292. The facility had been operating at 56.5% of the recommended level during the reporting period. A detailed listing of recommended post assignments can be found in the post chart appendix.



**Turbeville Correctional Institution  
July 2017 - December 2017  
Average Staff by Position Classification  
Recommended Levels**



## **Tyger River Correctional Institution**

The Tyger River Correctional Institution (TRCI) is a state operated level 2 facility located approximately 75 miles northwest of Columbia in the town of Enoree, South Carolina. The facility serves as one of South Carolina's adult male medium-security correctional facilities. The reported maximum capacity at Tyger River is 1,297 and the average daily population the first nine months of 2017 was 1,261.

While most of Tyger River's inmate population is considered medium custody a small percentage of inmates (approximately 7.4 percent) are classified as level 1 (minimum) and may be assigned to a variety of work details including jobs located outside the secure perimeter. At the time of the review approximately 15% of the population was on a mental health caseload.

The physical plant at Tyger River is unique in that it represents the results of merging two side-by-side SCDC correctional facilities in 1999, the Dutchman Correctional Institution and the Cross Anchor Correctional Institution. One facility was originally designed to house level 1B (minimum) inmates and the other was built as a level 2 (medium) security facility. The perimeter has been modified and upgraded since the original merge. The current perimeter is protected by a double fence reinforced with multiple rolls of razor ribbon, electronic surveillance equipment, high-mast lighting, vehicle access gate, sensors, elevated watch towers, perimeter zone stations and an alarm detection system. There is no single perimeter road that circles the entire facility.

In addition to providing housing and services for general population inmates Tyger River also provides housing and services for special programs including a Restricted Housing Unit, Transition Program and the Under 21 EFA Program. The Restricted Housing Unit is available to house inmates requiring more intense behavioral levels of supervision and the inmates are housed and programmed separately from inmates assigned to the general population. The transition program provides management an opportunity to temporarily monitor inmates on a short-term basis in a more controlled environment while providing required programs and services. The under 21 EFA program is an educational program for inmates under the age of 21.

Inside the perimeter are a variety of buildings, services and open space available to help meet the existing facility responsibilities. Since TRCI was originally designed as two separate institutions the footprint of the facility is extremely large and includes several duplicate functioning service areas.

The physical plant contains the following: Front Gate/Vehicle Access Gate; Administration Building; Upper Main Control; Lower Main Control; Upper Operations; Lower Operations; Personal Property; Visitation Area; Programs Buildings (2); Chapel; Education (2); Canteen (2); Laundry (2); Medical (2); Commissary (2); Greenhouse; Cafeteria (2); Maintenance; Prison Industries Buildings (3); General Population Housing Units and Two Restricted Housing Units.



Food Services are normally provided to the general population inmates in the cafeteria. Inmates assigned to the lower housing units normally use the lower cafeteria and inmates assigned to the upper housing units normally use the cafeteria located in the upper section of the facility.

All inmate movement was considered controlled movement and the type of movement varied based on the inmates' classification, the purpose for the movement, destination and time of day. A combination of line movement, escorted, supervised and the use of passes (OTR's) was all being used.

### Housing Unit Design

There are three primary housing unit designs at Tyger River. What is somewhat unique at this SCDC medium-security facility is that ten of the housing units provide "dry" cells. Each of these units contain cells that have no toilets or wash basins. The toilets, wash basins and showers are all located in the common area within each wing. In total there are 13 separate housing units required to be staffed.

The following housing unit designs are available.

- **Unit 6.** Unit 6 is a single story 96-bed housing unit located in the upper section of the facility used to provide housing for general population inmates. An officer work station is centrally located between two open bay wings where the inmates reside. The open bay wings containing half-wall living space separations are similar in design to dormitory style housing as there are no cells within this unit. Showers, toilets, wash basins, dayroom space and passive recreation opportunities are available within each wing. Secure outdoor recreation space is also available immediately adjacent to the unit.

- **General Population Units.** There are ten additional **indirect supervision** housing units available at TRCI, that each contain a centralized secure control room surrounded by two wings providing inmate living space. Visibility into each adjacent wing is available from the control room. Inmate housing is provided in “dry” cells located on two levels within each wing. The cells do not contain a toilet or wash basin and inmates are issued door keys to their cells in all but one of the housing units. In one housing unit, secure Folger Adams locks have been installed to the doors. Showers, toilets and wash basins are available within each wing. The operational capacity of the housing units varies from 96 to 127 which represent housing units with strictly double occupancy cells and housing units containing a combination of double and triple occupancy cells.
- **Restricted Housing Units (RHU).** There are two indirect supervision Restricted Housing Units that contain a centralized secure control room surrounded by three housing unit wings. Visibility into each wing is available from the control center. All inmate housing is provided on one level using secure cells which contain a bed, toilet and wash basin. Outdoor recreation space is available immediately adjacent to the unit. The operating capacity of one RHU is 48 and in the second unit the capacity is 58, where ten cells allow for double occupancy.

### Program Services

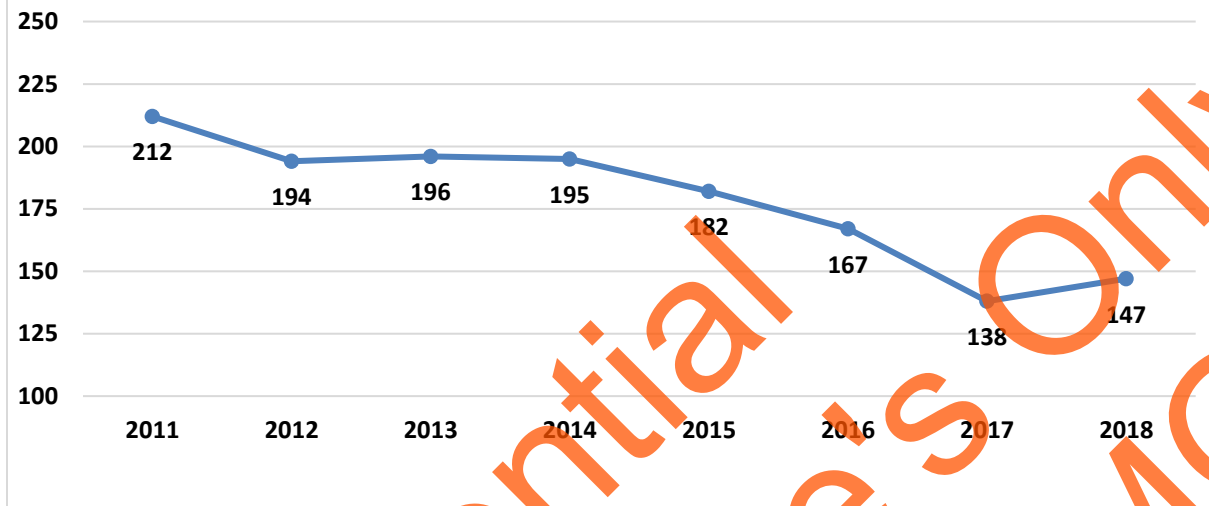
A wide variety of program services are available and integrated into the daily facility schedule. The primary programming includes: ABE/GED; Under 21 Education Program (EFA); Vocational Education; SPICE Program; Religious Services; Anger Management; Mental Health Services; Volunteer Services; Alcohol and Drug Education; General Library; Law Library; Recreation; Visitation; Canteen and expansive Prison Industry Programs. Staff report that over 480 inmates are routinely assigned to the Prison Industries program which includes three separate operations located in three different buildings.

### Security Staffing Profile

On the date of the site visit (*November 2, 2017*), there were (147) full-time security staff positions filled. The approved *funding level* was (217) and the recognized *authorized strength* was (233). The approved *funding level* is the number of personnel in each position classification approved by the department to be filled. The *authorized strength* is the current recognized number of security positions that have been identified to operate the facility safely. The *authorized strength* number is determined by the SCDC *Division of Security* based in part on feedback from facility management personnel. The authorized strength has remained relatively constant throughout the past eight years.

Security staff vacancies have been a concern at Tyger River for an extended period. In January 2011 the security staffing level was reported as (212). At the end of the year the security staffing level dropped to (194). The facility continued to operate in the (194-196) range until July 2014 when it dropped to (187) total security staff. Since July 2014 the security staffing level at Tyger River had continuously declined until August 2017. The following figures identify **the total number** of filled security positions reported on January 1 of each corresponding year.

### Tyger River Correctional Institution Assigned Security Staff



Source: SCDC RIM

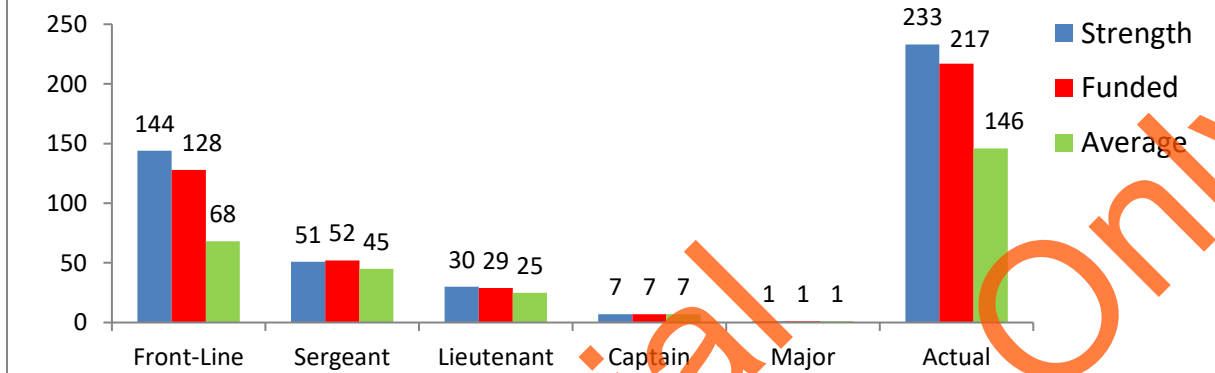
#### Recent Staffing Trends

During the period from July 1, 2017 to December 1, 2017 the facility has operated with an average of 146 total security staff. A significant increase from January 2017. As reflected in the following chart on average there were approximately 71 approved funded positions that were not being filled. These were funded positions that had been approved to be filled. In respect to the recommended *authorized strength* level the facility was operating on average with 87 positions unfilled.

The following chart identifies the average staffing level by position category for the reporting period of July 1 through December 1, 2017. In the chart the front-line positions include cadets, officer I/II's and corporals.



### Tyger River Correctional Institution July 2017 - December 2017 Average Staff by Position Classification



Source: SCDC RIM

As reflected in the chart, the largest number of vacancies (84.5%) was in front-line positions. These are the positions that normally have the most frequent direct contact with inmates and routinely include posts such as housing units, transportation, hospital coverage, inmate escorts and direct security within a specified area. Cadets are not assigned to posts that require a weapon and non-certified security staff are not allowed to staff a post assignment on their own.

An additional point reflected in the chart, is there were more security supervisor positions filled than front-line positions. On average, there were (78) security supervisors and (68) front-line positions filled. Supervisory positions include sergeants, lieutenants, captains and the major. When filling critical FLS post responsibilities at this facility front-line post assignments are routinely being filled by supervisory staff and/or by line staff filling the post at an overtime rate. This practice of augmenting posts impacts both the ability for supervisors to focus on their responsibilities and the cost to operate the facility.

In total, the facility has been operating with approximately 67 percent of the approved funding positions filled.

#### Operational Initiatives in Response to Staffing Levels

Based on staffing levels facility management personnel have deviated from the original staffing plan and implemented several initiatives to maintain minimum operations at the facility.

These initiatives routinely include the following:

- Deploy Cross-Watching.** There are 13 housing units at the Tyger River Correctional Institution of which all but two of the units are considered general population units. The capacities of the eleven general population units each range from 96 to 127. There are no toilets or wash basins in the cells and the inmates have keys to their cells in all but one of the general population units. Housing units are occasionally left without staff while inmates remain in the units as assigned personnel, on occasion, are responsible for providing supervision to more than one area.



Approximately 92% of the inmate population housed at TRCI are considered medium custody and approximately 15% were on a mental health caseload during the review period;

- **Staff are augmented to leverage existing personnel resources.** Since 84.5% of the vacancies were in the front-line staff positions staff outside those position classifications are frequently required to fill front-line staff post assignments. Based on a review of daily shift assignment rosters sergeants, lieutenants and captains are frequently used to meet line staff responsibilities, limiting the amount of time available to supervise or perform their normal assigned responsibilities;
- **Shift Supervisory personnel routinely work 14-15 hr. days.** To meet existing responsibilities, shift supervisory personnel routinely arrive prior to the start of their shift, review staff availability levels, facility schedules and overall workload. Shift supervisors often remain after their shift is normally over to ensure effective communication and staff coverage. Lieutenants and captains are not eligible to receive overtime compensation;
- **The facility is placed on full or partial lockdown to limit movement outside the cell and reduce staff workload.** The first eleven months of calendar year 2017 the facility reported they were on full or partial lockdown a total of 222<sup>44</sup> days. This resulted in limited access for the inmates to programs and services;
- **Personnel are often compensated at an overtime rate to complete required staff training.** Uniformed security personnel are routinely scheduled to complete required training on their off-days or after their shift resulting in possible overtime expenditures. Pay cycle dates of August 18, 2017 – September 15, 2017 identified (229)<sup>45</sup> hours of overtime reported for staff training. Pay cycle dates of September 16, 2017 – October 13, 2017 identified (360) hours of overtime reported for staff training;
- **Post Assignments go unfilled.** A review of daily shift assignment rosters from July 2017 through November 2017 reflect all post assignments in the housing units, towers, yard and Restricted Housing Unit Wing positions are not routinely being filled;
- **Staff responsibilities are expanded beyond the established post order.** Each post assignment includes a written post order that describes the normal responsibilities associated with the post (OP-22.24)<sup>46</sup>. Under normal circumstances security staff are responsible for one post at a time. Staff assigned to existing posts are routinely required to be responsible for meeting both their assigned responsibilities and responsibilities of an additional post. This often results in fewer and less thorough pat-down searches, fewer building inspections, limited inmate escorts, delays and or cancellations in program and service delivery;
- **Out of Cell Recreation is not consistently being offered in RHU.** Based on staff interviews and a review of available documentation inmates assigned to the Restricted Housing Unit did not consistently receive access to recreation outside their cell at a frequency consistent with policy;

<sup>44</sup> SCDC Operations. Lockdown Statistics.

<sup>45</sup> Tyger River Human Resources.

<sup>46</sup> SCDC Policy OP.22.24 Post Orders.

- **Staff assigned to 8 or 12-hour shifts do not consistently receive meal breaks.** Most staff assigned to the shifts rarely receive a recognized break from their post assignment. Federal (Fair Labor Standards Act) and state labor laws do not require the employer to provide a meal period or break to employees; however, SCDC policy does;

*SCDC Policy ADM-11.21 Regular Working Hours and Overtime cites in section 1.1 states: The official work schedule for security positions will be either 1.1.1 eight (8) hour shifts or 1.1.2 twelve (12) hour shifts on a 28-day cycle, including at least one 30-minute meal period each shift.*

- **Filling Mandatory 24-hr. post assignments intermittently.** The Division of Security has developed a post chart as a guideline to identify post assignments required to be filled and when they are to be filled. Existing operational practices frequently result in all posts not being filled and staff assigned to non-stationary posts, intermittently filling posts such as the yard, cafeteria and/or housing unit posts;
- **Staff assigned to the 12-hour shifts are routinely scheduled to work a minimum of 168 hours in a recognized 28-day pay cycle.** Staff assigned to the 8-hour shifts are routinely scheduled to work 160 hours in the same recognized pay cycle. Staff working the additional eight hours are normally compensated at straight-time which is consistent with Fair Labor Standards Act (FLSA) guidelines. Initial Department practice was to provide staff assigned to the 12-hour shifts, 8 hours off per pay cycle; however, this practice was no longer occurring;
- **Staff not initially scheduled to work a shift are held over or called in to work often at an overtime rate to fill vacant post assignments.** The first eleven months of 2017 overtime expenditures were reported as \$729,806. Approximately 86% of the reported overtime is the result of back-filling required post assignments; and
- **Restrictions on staff overtime.** Facility management personnel have placed restrictions on overtime including the number of consecutive days and number of hours in a day an employee can work overtime. As a result, overtime expenditures have decreased at TRCI as have the number of post assignments being filled have decreased.

#### **Demonstrated Risk Factors**

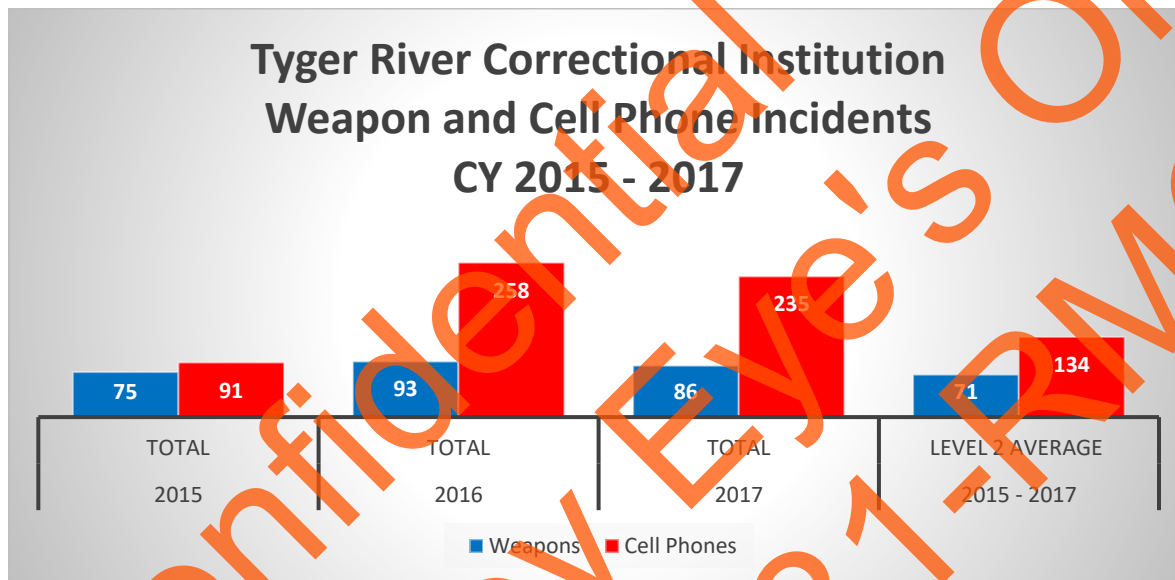
**Contraband Incidents.** The introduction and presence of contraband in a correctional facility has always been an issue and is a primary management concern when operating a facility. It often leads to unauthorized movement, destruction of property, compromised staff, public trespassing, criminal activity, violence and escape.

One of the keys to an effective contraband prevention and detection plan is to establish an internal plan based on available resources that focuses on the prevention, identification and detection of contraband as a facility-wide goal. Part of the plan should ensure fundamental practices including searches, patrol, detection and intelligence gathering are consistently incorporated into daily workload activities by all staff, not just those assigned to contraband control.

Once an employee becomes responsible for more than one post assignment their ability to carry out all the necessary functions usually diminishes. The department has recognized this concern and has been vigilant in their pursuit to confront this issue.

The Director has been at the forefront on a national basis calling for federal support to repeal federal laws to allow cell phone jamming in correctional facilities. The Communications Act of 1934 and the Telecommunications Act of 1996 prohibit the operation of cell-phone-jamming equipment by any person, including state and local officials.

As shown in the chart, weapon and cell phone related incidents reported at Tyger River have been more than the average identified for the level 2 male facilities reviewed. In respect to cell phones, Tyger River has had the third most incidents the past three years compared to the facilities reviewed.



Source: SCDC RIM

In reviewing staff deployment patterns and interviewing personnel at the facility there is no indication that the reason for the higher level of contraband at Tyger River is due to a more pro-active approach toward contraband detection and recovery. There were three authorized positions dedicated for contraband control at the facility.

Other staffing related factors possibly impacting contraband levels at Tyger River include:

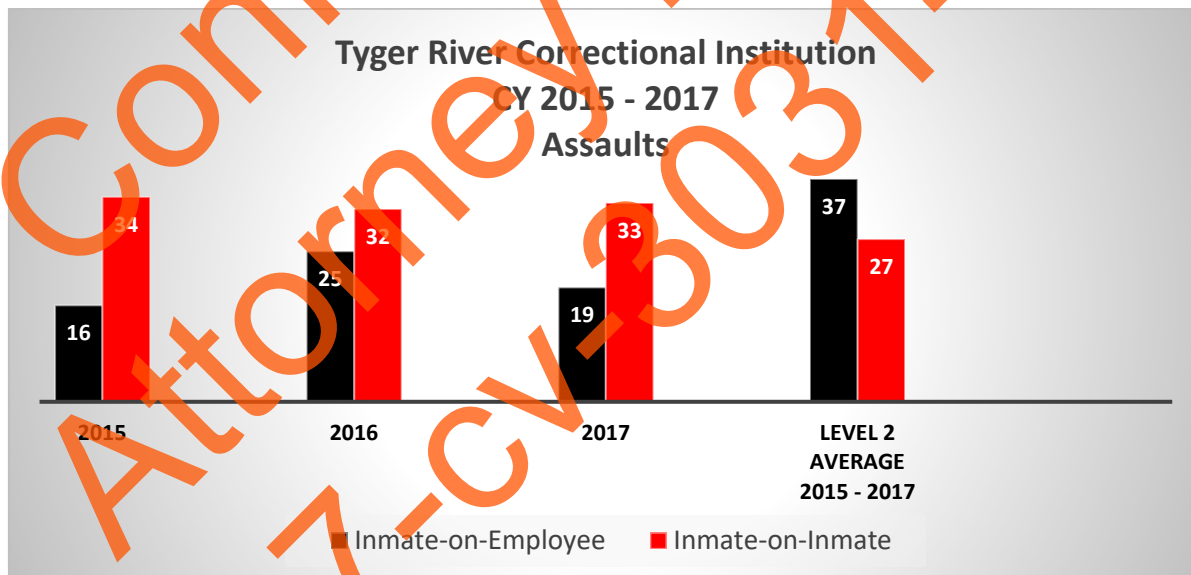
- Yard post assignments are normally filled intermittently;
- There are five outer perimeter posts of which only two are normally staffed;
- There is no outer perimeter patrol post; and
- Pressure is placed on staff, especially inexperienced staff by inmates to be involved in contraband trafficking.

It is often initially presented as a harmless venture, that can gradually lead to further criminal activity, intimidation and violence, resulting in an at-risk environment for staff, inmates and the community.

**Assaults.** A second risk factor that is often associated with staffing levels is the number of assaults that occur at a facility. The number of staff, the experience level of staff and training is often referenced as one of the causes of prison violence. Although there is no internal or external study that supports insufficient staffing as the cause of violence, in most cases it should be considered a contributing factor. Having a sufficient number of well-trained knowledgeable staff assigned to appropriate locations should be the goal of every facility. The conjecture is that if properly trained staff were present and available as identified in the recommended staffing plan, the chances of an incident resulting in an assault may not be as high. This may not always be the case; however, should be considered a fair assumption.

It has been my experience most, but not all inmates contemplating committing an assault look for opportunities to carry out the act without being detected. Having between zero and one FLS staff assigned to a 100-bed housing unit which contains no internal electronic surveillance support, creates an environment where the perceived opportunity to commit an assault can initially go undetected. This appears to be the case at Tiger River. There is simply not enough staff supported by available surveillance equipment to consistently cover all the required areas and send the message to the inmate population that when involved in criminal activity the risk of being apprehended will be great.

At Tiger River the number of assault related incidents involving inmates-on-employees reported in 2015, 2016 and 2017 was lower than the overall average reported for all the other level 2 facilities. The number of inmate-on-inmate assaults was slightly higher than the average in all three years. The chart below still reflects assaults occur at a higher than acceptable level. This fact should be considered a contributing factor to staff turnover, number of qualified applicants and staff retention rates at TRCI.



Source: SCDC RIM

## Key Positions

Administration. The approved administrative core positions for the facility include a superintendent (Warden) and two assistant superintendents (Associate Warden of Operations/Assistant Warden of Programs). All the positions were filled on the day of the site visit. The Warden was initially interviewed at the beginning of the assessment, provided the security post assignment tour and was debriefed prior to the completion of the on-site phase of the assessment. After the initial on-site assessment, the warden was available via telephone to clarify pending issues.

Supervisor Posts. The major is the top uniformed security position at the facility. This position is routinely considered the Chief of Security and reports to the associate warden of operations. On the day of the site visit it was the major's first day being assigned to Tyger River. The previous major had recently been promoted to the associate warden of programs position.

The (4) 12-hour shifts are supervised by a combination of captains and lieutenants. On the date of the site visit the two-12-hr. day shifts were supervised by lieutenants and the two-12-hr. night shifts were supervised by captains. Additional lieutenants were available on each shift to assist the shift supervisor and serve in their capacity during short-term absences. The shift supervisor is responsible for overseeing shift operations, deployment of security personnel and meeting facility security needs.

Each of the (4) 12-hour shifts also have sergeants available to assist in staff supervision. The 12-hour day shift starts at 6:45 am and scheduled to conclude at 7:00 pm. The night shift starts at 6:45 pm and scheduled to conclude at 7:00 pm. Each 12-hr. shift includes an employee paid fifteen-minute shift briefing prior to proceeding to their assignment. Current operational practice is for the shift commander to arrive at least one hour prior to the shift and remain until work is completed.

There were seven captain positions allocated to Tyger River, two of which serve as 12-hour night shift supervisors and five that serve as unit managers. Each unit manager focuses on specific housing units within the facility. Unit Managers consist of veteran security personnel that fill a captain position on the roster. These non-uniformed supervisors serve as the housing unit administrator and are responsible for managing activities, staff and inmates assigned to a specific housing unit. Working with the unit manager is normally a lieutenant who serves as the assistant unit manager of a housing unit and as a counselor to inmates assigned to the unit.

Due to the limited number of front-line security staff available in the housing units, and the workload responsibility associated with operating a housing unit, staff assigned as the unit manager and counselor often deviate from their designed roles to fill a more traditional officer and/or sergeant role to address fundamental operating issues.

Tyger River also applies a "blended" shift schedule model that includes staff working an 8-hour shift, commonly referred to as C-Card. This shift is supervised by a lieutenant. The "blended" model generally allows for the concentration of staffing levels to be available at times when the workload and activity levels are generally higher. The objective of the blended schedule is to make more efficient use of available staff resources by having them available in the most beneficial areas at the most appropriate times.

At Tyger River the individual supervisors assigned to work an 8-hour shift are normally assigned to one of the following areas:



C-Card Supervisor, Unit Manager, Unit Counselor, Environmental Health and Safety, Restricted Housing Unit, Training, Recruiter, Staff Retention, Transportation, Grounds Maintenance, Contraband Control, Prison Industries, Horticulture, Armory, Operations, Key Control and Disciplinary Hearing Officer. Most staff assigned to the 8-hour shift are scheduled to work from 8:00 am to 4:00 pm Monday through Friday; however, various starting and ending times are applied to best meet the needs of the facility. Supervisory staff assigned to Retention, Recruitment and Prison Industries are not considered as part of the Tyger River Correctional Institution budgeted positions as they are central office positions assigned to the facility.

On the date of the site visit there were (24) lieutenants and (46) sergeants assigned to Tyger River. Two of the sergeants were on extended leave and one lieutenant was scheduled to start their military leave in the middle of November. A five-month review reflected an average of 1.2 sergeants were consistently on extended leave status.

In reviewing the period of July 2017 to December 2017 an average of approximately 53.4% of the filled security positions were considered supervisory positions. The approved funding level for security supervisors at TRCI allowed for (89) positions of which on average (78) were filled. The sergeant position averaged seven vacancies and the lieutenant position averaged four vacancies. The turnover rates, number of qualified applicants applying for positions, facility location and the lack of overtime compensation for the lieutenants were cited as contributing factors to consistent supervisory vacancies.

Front-Line Security Staff. For this study, front-line security staff positions include cadets, correctional officer I/II's and corporals. Cadets are those uniformed individuals that are 18 to 20 years of age, have not received all the firearms training and are limited in where they can be assigned. On the date of the site visit there were two cadets assigned to the facility.

Correctional Officer I/II's are the traditional front-line security personnel age 21 and over and when certified may normally be assigned to most any front-line staff post. On the date of the site visit there were five officers considered non-certified that had not completed basic training.

Corporals are non-supervisory lead officers with a minimum of 18 months experience that may be assigned to any line staff post within the facility. Individuals in these positions normally serve as the lead employee when two or more front-line staff are working together. For the most part, based on current practice and as a result of existing staffing levels, the Officer I/II's and Corporals are frequently interchangeable when considering post assignments.

A review of front-line security (FLS) staffing levels reflects there was an average of (68) front-line security staff assigned to the facility. Five of the (68) security staff were not certified and an additional (18) had less than one year of service with the SCDC. Non-certified security staff by directive, are not able to fill a post assignment alone until after being certified and staff with less than one year of service are normally not eligible to fill a transportation post, restricted housing unit post or provide hospital coverage. As a result, approximately 33% of the front-line security staff were limited in where they could be assigned.

To put into perspective the impact FLS staffing levels have on the facility, there are (11) general population housing units and (2) restricted housing units. Each general population housing unit requires a minimum of two FLS staff **during the day shift**. Each restricted housing unit requires a minimum of (3) FLS staff per unit during the day shift. When applying the current recognized 12-hr. shift relief factor of 2.47, it will take an average of (69.16) FLS staff to consistently fill both the **general population and restricted housing unit FLS posts on the day shift only** throughout the year.



In July through December 2017, there were an average of (68) total FLS staff for the entire facility. As a result, the mandatory post assignments in the housing units alone, cannot consistently be filled at current staffing levels without deviating from the established staffing plan.

Additional post assignments where front-line staff may be assigned at Tyger River include the following:

Front Gate; Upper Control; Lower Control; Perimeter Tower post; Transportation; Prison Industries; Vehicle Gate; Yard Officer; Contraband Control; Cafeteria; Visitation; Education; Medical; Hospital Coverage and Grounds Maintenance. Some of these positions are required to be filled 24-hours per day, seven days per week, while others may be required to be filled for 12-hours, 10-hours, 8-hours or less per day ranging between two and seven days per week. Shift schedules are designed to allow for the concentration of security staffing levels to be available at times when the workload and activity levels in a specific area are generally higher.

### **Roster Management**

Roster management and staff scheduling at TRCI are considered essential elements in the daily operation of the facility. In-house roster management for security positions are performed primarily by the major in concert with the shift commanders.

A post chart has been developed by the *Division of Security* as required by policy to identify recommended staffing levels and to guide facility personnel on where and when to fill identified post assignments. In addition, minimum staffing levels have been established for the 12-hour day and evening shifts. At Tyger River the 12-hour minimum staffing level established by the *Division of Security* for the day shift is (30) and for the evening shift is (26).

Sample daily rosters reflected the facility was not consistently meeting the minimum established staffing standards. On the date of the on-site assessment there were fewer than (30) staff assigned to either of the 12-hour day shifts and fewer than (26) staff assigned to either of the evening shifts.

Shift Assignments. Facility management personnel at LC have developed a master shift assignment roster for security staff that identifies the name and number of personnel assigned to each shift, employee number, their position classification, post assignment (C-Card Only), leave status, those staff identified as "new hires" and their corresponding basic training reporting date.

The master shift assignment roster revealed staff were primarily assigned to one of five shifts. The (4) 12-hour shifts reflected a relatively balanced division of staff in both numbers and position classification for each 12-hour shift. The primary difference was the (2) day time 12-hour shifts were supervised by a lieutenant and the two nighttime 12-hour shifts were supervised by a captain. Approximately (23) staff were assigned to each 12-hour shift.

The 8-hour shift reflected a mix of supervisory personnel and front-line staff. There were (25) in-house supervisory staff and approximately ten front-line security staff assigned to the shift. This did not include supervisory staff that were assigned to Prison Industries, Training, Retention or Recruiting which are limited in where they can be assigned as they are not considered part of the Tyger River budget.

The in-house 8-hour shift supervisors were assigned primarily to facility support areas such as: Transportation; Contraband Control; Unit Management; Unit Counselor; Environmental Health and Safety; Operations; Property Control; DHO; Grounds Maintenance and Key and Armory Control. These post assignments are normally filled during the day-time hours. The 8-hour shift makes up the largest single shift when compared with the (4) 12-hour shifts. When hospital coverage is required, staff assigned to a 12-hour shift are often used to assist in providing coverage or completing transports which are traditionally considered an 8-hour or 10-hour post assignment.

Daily Shift Rosters. Daily shift rosters are also maintained at Tyger River that identify in more detail the actual staff assigned by day, their post assignment, staff on leave and briefing notes. The daily shift rosters are designed to document how scheduled personnel are utilized and to provide a necessary tool to provide staff accountability.

A review of sample daily rosters reflect rosters are maintained and identify specific staff assigned to select post assignments. There is no reference to post classifications or a recapitulation table identifying the total number of staff originally assigned to the shift. The conjecture is all staff scheduled are identified as being assigned to a listed post. When comparing the master shift assignment roster with the daily rosters all staff identified as being on the shift were not always listed on the daily roster.

An additional concern identified on the daily shift rosters is that the same individual may be listed as being assigned to more than one post, without any explanation. For example, one individual was listed on the D-1 daily roster for 11/2/2017 as being assigned to Housing Unit 11, Upper Yard Lieutenant, Shift Commander and Upper Yard Cafeteria. No other staff were identified for these posts. The conjecture, unless indicated otherwise, is that when an employee's name is listed next to a post assignment, that individual is responsible for that post during the entire shift. If that is not the case, notations should be made in the roster.

In view of the limited staffing levels available, staff at Tyger River are often required to work more than one post at a time. When more than one post is being filled by the same individual and one of the posts includes housing units where medium security inmates have keys to their own cells, safety concerns are enhanced.

Post Coverage. By memorandum from the *Division of Security*, post assignments should be classified as either, Pull Post Level I, Level II, or Level III (mandatory) to assist shift supervisors when determining which posts can be temporarily collapsed or closed due to staff shortages, emergencies, overtime reduction efforts or other reasons deemed necessary by the shift commander or facility management. The classification of post assignments is designed to ensure certain posts are shut down first.

Sample daily shift rosters provided reflected most of the mandatory posts identified in the post chart were being routinely filled. As mentioned they may only be filled intermittently. One exception was the three Outer Perimeter posts which were not being filled. In addition, the number of staff assigned to the Front Gate and Restricted Housing Unit Wings were deficient when compared with the post chart. Staffing levels in these areas reflected that normally fewer staff were being assigned than identified in the post chart.

The most significant concern noted in the post chart was the total number of FLS staff recommended for the general population housing units. The post chart dated September 2017 reflected two FLS posts were recommended to cover the eleven general population housing units. This may have been an oversight in the post chart. The authorized strength has been relatively constant since 2011.

As a result, the authorized strength identified for Tyger River was significantly deficient. The operating practice reflected that when there were supervisory personnel present they were often performing both supervisory functions as well as front-line responsibilities. When supervisory staff were not present front-line staff were frequently responsible for their post, as well as an additional front-line post. For example, the D-1 daily roster for November 2, 2017 reflected the shift commander was assigned to four posts; Lieutenant Upper, Housing Unit 11, Cafeteria Upper and Shift Commander.

At Tyger River the basic elements of a roster management system including the identification of post assignments, recommended staffing levels, shift scheduling and daily shift roster development are in place.

The primary concerns with the system include the following:

- The post chart underestimates the number of mandatory posts that need to be filled. The current operating practice when insufficient staff are available is to contact qualified staff currently assigned or on their off-day to determine their interest in working additional hours. Based on the number of staff interested in working additional hours combined with the scheduled staff the shift commander fills as many posts as possible. Most often, this results in mandatory posts going unfilled, staff working multiple posts and post assignments being filled intermittently and/or by personnel outside the recommended position classification;
- The recommended minimum staffing levels for each 12-hour shift needs to be reviewed and updated on a regular basis. Daily shift rosters reflected established minimum staffing levels were not being met on a consistent basis. Monthly in-house reviews should be completed to identify the number of post eligible personnel, determine the effectiveness of the system and to confirm or re-establish minimum staffing levels;
- Daily shift rosters need to be updated to reflect how all staff assigned to the shift are utilized. The daily roster should identify the names of all staff assigned to the shift, the approved post assignments, the post classification, post closures the employee assigned to each post and if assigned for less than a full shift that should be noted. Staff assigned to posts for less than a full shift, detailed to a special assignment, working overtime or using benefit time should be clearly identified on the daily roster; and
- Manual and automated daily rosters should be completed and maintained as a potential legal document designed to identify how staff are utilized during each shift. Discrepancies identified between the manual and automated daily rosters should be addressed in the recommended monthly roster management meeting.

### **Staffing Recommendations**

The most significant concerns expressed by facility personnel involved the impact available staffing levels were having on the operations of the facility. This included both supervisory and front-line positions. In view of the limited number of front-line personnel, supervisory personnel were being required to fill front-line post assignments and not able to focus strictly on supervisory responsibilities.

Additional concerns verbally expressed included triple-celling and cross-watching, where staff were occasionally being assigned to more than one post assignment at the same time. On the date of the site visit there were 160 inmates tripled celled and four of the housing units were staffed only by supervisory employees of which three of the identified supervisors were also assigned to other posts in addition to the one housing unit.

The eleven general population housing units are separate buildings and the inmates assigned to nine of the units have keys to their cells. The current staffing practice is inconsistent with established workload responsibilities.

### **Recommended Post Assignment Enhancements**

The following posts are key assignments that currently are not consistently being filled as designed and should be considered either essential or critical core posts.

**Front Gate.** The front Gate is the primary location where all approved foot traffic and vehicle traffic enters the facility. Inside the front gatehouse is a secure control room and processing area. The control room officer electronically operates the secure doors in the immediate area, the vehicle gates and scans the SCDC identification cards. In the processing area of the front gate is a walk-thru magnetometer, property scanners and security wands. Individuals entering the front gate are subject to search. The front gate area is where the initial search is conducted. On the date of the on-site visit, the front gate control room was staffed; however, there was no staff in the walk-thru processing area. The officer assigned to the area is also assigned to search vehicles entering and leaving the facility. During peak traffic time's, two staff members are recommended to be assigned to the front gate processing area to assist in conducting security searches of vehicles, drivers and foot traffic;

**Courtyard.** The Tyger River physical plant is the result of merging two similar designed separate facilities that were located side-by-side. The facility provides a campus-style design with two separate courtyards, one on the lower section of the facility and one on the upper section. The upper courtyard is surrounded by five housing unit, recreation, program and service space. To move from the housing units to most program activities and service areas, inmates are required to walk through the courtyard. At TRCI the courtyard provides secure space for a recreational yard resulting in frequent inmate activity in the area. In the lower courtyard the layout is similar to the upper yard, however due to the positioning of the secure recreation space, the line of sight from the service areas to the housing units is limited.

In addition to the recreation space there are five housing units, program and service areas surrounding the lower courtyard. To gain access from one courtyard to the other, there are multiple gates that have to be accessed. In view of the distance, size of the courtyard and blind spots one staff member cannot successfully monitor and control inmate movement in each courtyard. Current practice includes using unit management personnel, assistant shift leaders and/or the shift commander to monitor and control inmate movement during peak periods. Dedicated security personnel are recommended to be assigned to maintain a visual security presence in high traffic areas and conduct security patrol including the inner perimeter and courtyard;

**Post Relief.** In view of the available staffing levels at Tyger River, staff assigned to the 12-hour shifts do not normally receive a rest or meal break. There is usually no staff available to provide such relief. State and federal regulations do not mandate employers to provide breaks; however, SCDC policy does.

Under the current circumstances and based on existing staffing practices most front-line staff are not only filling one post assignment they are routinely filling two. The value and benefits of providing short breaks to staff filling 12-hour posts should be recognized. Establishing "Security/Relief" posts that provide temporary relief to staff assigned to post assignments are identified in the analyst recommended post chart;

**Shift Relief.** The shift relief factor allowance is not reflected in current staffing levels. Security personnel time-off is generally covered through assigning overtime, closing posts, or redeploying staff from other designated post assignments;

**Perimeter.** There are five perimeter posts at the Tyger River Correctional Institution. This may be the only medium security facility without a continuous outer perimeter road that circles the facility. As a result, there is no outer perimeter mobile patrol post. Current practice is to staff two perimeter posts, Victor 2 and Victor 3. Victor 3 is located between the upper and lower courtyards and operates the vehicle access gates behind the upper courtyard leading to and from Prison Industries and the Upper Restricted Housing Unit. In addition, the staff assigned to Victor 3 also electronically operate the access gate to the lower courtyard.

The second perimeter post that is normally staffed includes Victor 2, which is on the lower level, located outside the perimeter near the greenhouse, between housing units 3 and 4. The three remaining perimeter posts are normally not staffed. Two of the closed perimeter posts are located on the upper yard and one is located behind the kitchen and dock on the lower yard. Based on the lack of a mobile perimeter patrol, inmates having keys to their cells, medium custody population, the numerous blind spots and high volume of contraband, additional perimeter posts should be staffed. The recommended post chart includes the staffing of an additional perimeter post;

**Restricted Housing.** Current practice routinely includes having one 12-hour shift staff member assigned to the control room of each restricted housing unit. In addition, C-Card personnel including a unit manager for the Restricted Housing Unit Upper and a lieutenant for the Restricted Housing Unit Lower are assigned to the RHU's. A review of daily rosters, supported by an on-site inspection reflected that normally no more than two FLS staff are assigned to each RHU.

Taking into consideration, the control room must remain staffed based on operational capacities, two staff are required to open a cell door and escort an inmate, showers are located outside the cell, outdoor recreation is located outside the cell and 30-minute security checks are required for each inmate, these are staff intensive units. In addition, supplies/mail/meals need to be distributed, building inspections are to be completed, reports written, staff escorts required, counts and cell searches are to be conducted sufficient personnel need to be assigned to meet established responsibilities. The feasibility of completing all these responsibilities with one control room officer assigned and one supervisor present during the day shift, five days per week is not practical. While reviewing unit logbooks there is serious question as to whether inmates are routinely being provided showers, access to outdoor recreation and whether 30-minute security checks and counts are consistently being conducted. On the 12-hour day shift, three FLS wing officers are recommended in addition to the control room. On the 12-hour evening shift, two FLS wing officers are recommended in addition to the control room officer and supervisor; and

**Transportation.** Tyger River averaged approximately 80 van transports per month during the months of July, August and September 2017. There are five staff assigned to transportation including one lieutenant, one sergeant and three front-line staff. Each transport requires a minimum of two certified staff. Based on the workload volume and staff interviews one additional certified security staff member should be available to provide transport responsibilities without having to routinely pull staff from the shifts.



### Shift Relief Factor (SRF)

An updated shift relief factor has been developed for Tiger River based on data provided by personnel assigned to the Research and Information Management Division (RIM). The shift relief factor (SRF) represents the number of staff required to fill a post assignment throughout the year and is based on the number of hours the post needs to be filled divided by the number of hours the average employee assigned to the post is available.

Staff attendance, off-post hours and leave-time results are inputted into a department recognized electronic data base and transferred into an automated system that can identify the shift relief factor. The SRF electronic workbooks have been set up to allow the user to specify the institution and hours per shift which will automatically recalculate the SRF accordingly.

The SRF calculation for this project is based on the following:

- All security staff (cadets – major) who were assigned to the institution during the entire year;
- A blended work schedule, including the use of both an eight-hour administrative shift (160 hours) and the straight 12's (168 hours) schedule;
- An average of the three most recent completed years available at the time the report was being initially prepared. This included 2015, 2016 and 2017. The purpose of evaluating data from the past three years instead of one year minimizes the chances the SRF will be influenced by one or more unusual factors or outliers. The average security employee was available to fill a post approximately (60) fewer hours in 2017 compared to 2015.

At Tiger River, the use of "annual-leave" (vacation) had increased in 2017 compared to 2016 and 2015. In 2017 an average of (112) hours of annual leave was used per employee compared to (93) hours in 2016 and (82) in 2015;

- The SRF is reflective of the facility being fully staffed; and
- Most posts recommended are considered relief posts. Refer to Appendix A for the detailed formula used to determine shift relief factors and the post chart appendix to identify specific post assignments being recommended.

Tiger River Shift Relief Factors - 2018			
Average 2015, 2016, 2017	8 Hour Shift 5-days	8 Hour Shift 24/7-Days (160 hrs.)	Straight 12-Hour Shift 24/7 days (168 hrs.)
Institution			
Tiger River CI	1.29	5.35	4.94

A shift relief factor of 4.94 can be translated to mean that for one year, an average of slightly less than five staff (4.94) will be required to fill one 24-hour post assignment when applying the straight 12-hour shift schedule (168 hours). A five-day shift relief factor for one 8-hour post assignment requires an average of 1.29 staff (160 hours) throughout the year.



### Staffing Level Recommendations

A recommended post chart has been developed to identify the number of security staff recommended to meet the current mission of the Tyger River Correctional Institution when fully operational. As the mission changes the staff requirement may also change.

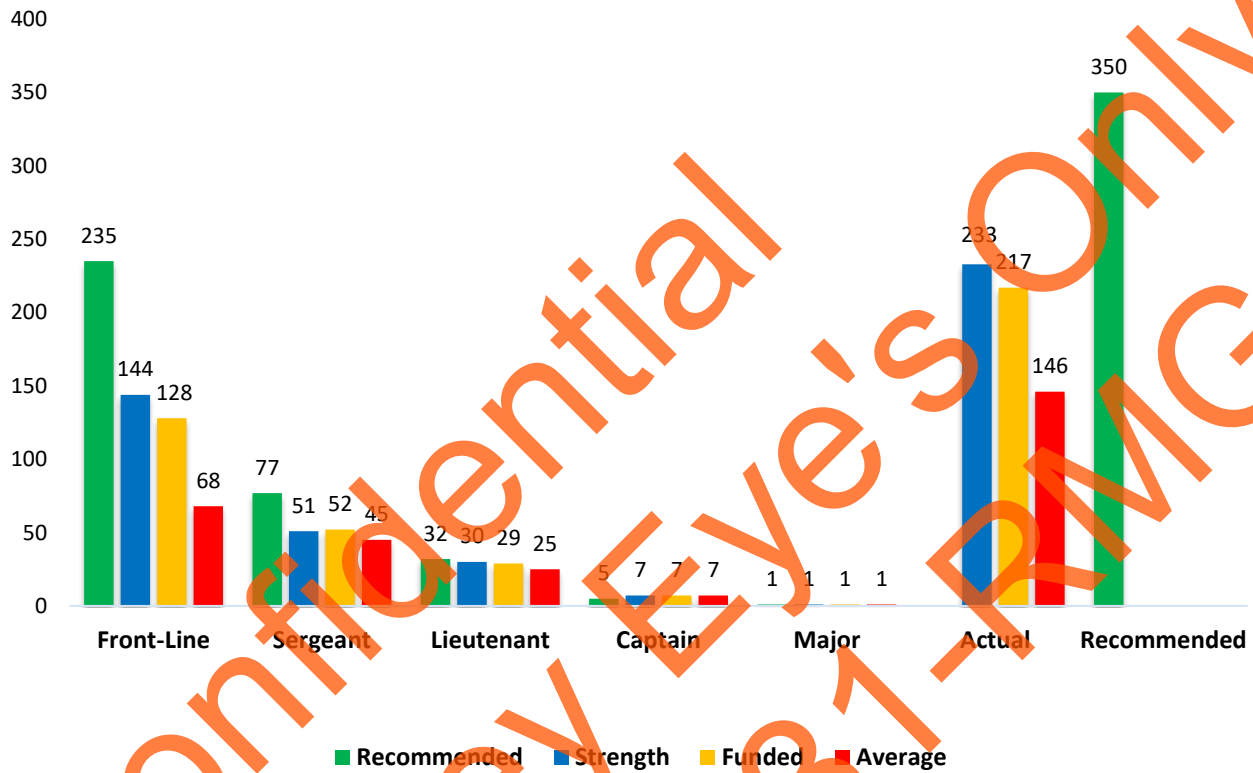
The staffing recommendation is based on applying the following:

- A blended work schedule consisting of a 12-hour work schedule (168 hours) and an 8-hour (160 hours) administrative schedule;
- A 28-day pay cycle applying Section 7(k) of the Fair Labor Standards Act (FLSA) to determine the overtime threshold;
- A shift relief factor based on the most recent available three-year average leave-time and reported authorized time unavailable to fill a post, i.e. staff training, meal break;
- The facility fully operational including staffing all existing housing, program and service areas;
- The facility continues to operate under the established policies and current mission; and
- Taking into consideration security staffing related requirements as stipulated by court orders, settlement agreements, state and federal laws.

<b>Tyger River Correctional Institution Security Staffing Recommendation</b>	
<i>Position Classification</i>	<i>FTE</i>
Major	1
Captains	5
Lieutenants	32
Sergeants	77
Front-Line Staff	235
<b>Total</b>	<b>350</b>

The recommended security staffing level for the Tyger River Correctional Institution is 350. The facility had been operating at 41.7% of the recommended level during the reporting period. A detailed listing of recommended post assignments can be found in the appendix.

**Tyger River Correctional Institution  
July 2017 - December 2017  
Average Staff by Position Classification  
Recommended Levels**



## Camille Graham Correctional Institution

The Camille Graham Correctional Institution (CCGCI) is a state operated correctional facility located within the Department of Corrections Broad River Complex in Columbia, South Carolina. The facility was originally opened in 1973 as the South Carolina Women's Correctional Institution and renamed the Camille Griffin Graham Correctional Institution in 2002. Additional replacement housing units have been added since the facility was originally opened.

CCGCI serves as the Department's Women's Reception and Evaluation Center (R & E) in addition to providing permanent housing and services for females admitted to the South Carolina Department of Corrections. The combined operational capacity at CCGCI is reported as 916 and the average daily population during the last six months of 2017 was 745. The custody level of inmates assigned to the main facility varies from level 1A to level 3. At the time of the review approximately 51% of the total population (excludes R & E) was on a mental health caseload.

The facility currently provides housing and services for a wide variety of inmates including the following:

- **Reception and Evaluation (R & E).** CCGCI is the only female R & E facility within the South Carolina Department of Corrections. All females admitted to the South Carolina Department of Corrections are processed initially through the CCGCI Reception and Evaluation Center. The security classification of inmates assigned to the R & E varies from level 1 to level 3. During FY 2017, there were 1,120<sup>47</sup> adult females admitted to the Department;
- **Crisis Stabilization Unit (CSU).** The Department implemented a Crisis Stabilization Unit at CCGCI in 2017 to centralize medical and mental health care for females while maintaining safety and security regulations for a high-risk population. Inmates assigned to the 12-bed CSU are provided housing and services in a separate corridor of a wing within the "Blue Ridge" housing unit. Based on the population profile of the inmates and treatment requirements additional security personnel are considered essential. In calendar year 2017 there were 149 admissions into the unit;
- **Intermediate Care Services (ICS).** In addition to the Crisis Stabilization Unit, mental health programs and services are also provided to a special needs population housed within the "Blue Ridge" unit. The ICS is a residential mental health program for females classified with serious persistent mental illness who require intensive treatment, monitoring, and care, but do not currently require psychiatric hospitalization. The program requires both structured and unstructured out of cell time, treatment and group therapy. Program assignments are based on the inmates presenting symptoms, behaviors, and adherence to treatment goals and recommendations;
- **Restricted Housing Unit.** The Restricted Housing Unit is available to house inmates requiring more intense behavioral levels of supervision. Additional security personnel are required to meet established responsibilities within the unit. The inmates are normally housed and programmed separately from inmates assigned to the general population;

<sup>47</sup> SCDC RIM

- **Residential Substance Abuse.** CCGCI provides a 48-bed residential substance abuse treatment program designed to provide offenders with 6-9 months of gender specific structured programming through a therapeutic community treatment approach. Inmates reside in a housing unit where one wing was strictly dedicated to the substance abuse program;
- **Work Release.** In 2016 the Department of Corrections merged the level one female work-release operations from the Goodman Correctional Institution with CCGCI. Individuals assigned to the CCGCI work release program currently reside inside the secure perimeter of the main facility. The work release inmates are classified as level 1A, (community-minimum) and work at approved sites within the local community. Inmates assigned to the work release program may be required to be transported to and from the facility daily. Work Release Inmates are housed in a separate wing at CCGCI from the rest of the population;
- **Shock Incarceration Program.** The Shock Incarceration Program is a 90-day program designed as an alternative to traditional incarceration, providing a therapeutic environment where young female nonviolent offenders receive substance abuse treatment, academic education, and other assistance to promote their reintegration into the community. Individuals assigned to the Shock Incarceration Program reside in the housing wing with youthful offenders;
- **Youthful Offenders.** On the date of the review females sentenced under the South Carolina Youthful Offender Act were housed with younger inmates in the same wing as the shock incarceration program and normally separate from general population inmates; and
- **General Population.** The largest percentage of inmates housed at CCGCI are assigned to the general population engaged in both program and work assignments.

CCGCI operates as a multi-level security correctional facility surrounded by a perimeter fence reinforced with razor ribbon, concertina wire, electronic surveillance equipment, roving perimeter patrol, high-mask lighting, vehicle access gate and an alarm detection system.

Inside the perimeter of the facility are a variety of buildings and services provided to meet existing responsibilities. The physical plant includes: An Administration Building; Main Control; Medical Unit; Education Building; Multi-Purpose Building; Maintenance Area, Vocational Welding Shop; Support Services Building; Chaplaincy Area; Prison Industry Program; Cafeteria; Vehicle Gate; an open yard with walking track located in the center of the facility and six housing units including the Restricted Housing/R & E Unit and five additional housing units.

Food Services are provided to the general population inmates in the main cafeteria. Inmates assigned to the RHU and CSU have meals delivered to the housing unit.



### Housing Unit Designs

There are five different inmate housing unit designs at the facility.

- General Population.** Three of the housing units are similar in design. The **indirect supervision** replacement units contain a centralized officer work station located between the two housing wings. The work station allows partial visibility and direct access into each wing as well as to the exterior of the building. The open bay wings are similar to dormitory style housing as there are no cells within these units. Showers, toilets, wash basins, dayroom space, telephones and passive recreation opportunities are available within each wing of the single-story units.
- Mental Health.** One housing unit was being used to house inmates where the primary program focus was on providing mental health programs and services. This housing unit referred to as "Blue Ridge", contains an officer work station located in between the two housing wings in the sally port and an officer work station in the CSU corridor. The work station in the sally port allows partial visibility into each wing and has direct access to the exterior of the building as well as each housing wing. One wing contains an open bay, similar to dormitory style housing. Showers, toilets, wash basins, dayroom and passive recreation space are available within the wing.

The second wing provides direct supervision and contains secure cells located on two separate corridors. Each cell has a bed, toilet and wash basin. Showers are located outside the cell in the immediate area. In addition to the shower facilities **an officer work station is provided on the wing** as well as dayroom/group programming space, passive recreation and interview rooms.



The Crisis Stabilization Unit was located on one corridor and Intermediate Care Services was being provided both on the other corridor within the wing and in the second wing. All housing, programs and services were provided in a single-story building.

- **Residential Substance Abuse/Work Release.** There was one two-tier **indirect supervision** design unit containing two wings being used to house inmates assigned to a residential substance abuse program and the work release program. Each program operated on a separate wing. Housing was provided in cells as there was no dormitory style housing within the unit. Each cell contained a toilet and wash basin and each wing has showers, a dayroom and passive recreation space. A secure centrally located control room was available within the unit to control access into the living areas and provide security support and visibility into each wing.
- **Reception and Evaluation/Restricted Housing.** The Reception and Evaluation Housing Area consist of two multi-level wings with each wing containing cells. The living areas are designed to provide primarily double occupancy cells, and each cell contains a toilet and wash basin. Dayroom space, showers and an **open officer work station in each wing**. On the day of the site visit, due to the total number of inmates assigned to the R & E, nine of the cells contained three inmates and six R & E inmates were being housed in the Restricted Housing Unit wing. Current housing practice is for one wing to contain strictly inmates assigned to the Reception and Evaluation process and one wing provides housing primarily for inmates assigned to the Restricted Housing Unit; however, this wing may also be used to provide temporary overflow housing for R & E inmates. The average overall length of stay for inmates assigned to the Graham R&E Unit was reported as being between 35 and 45 days.
- **Infirmary.** A small infirmary is in the medical unit and provides limited housing options for inmates requiring medical assistance. On the date of the on-site assessment one inmate was housed in the infirmary.

### Program Services

In addition to providing a secure environment, varying degrees of program services and opportunities are available to the inmate population depending upon their individual classification and status. These program services have been integrated into the daily facility schedule to include the following:

ABE/GED; Under 21 EFA Program; Vocational Education; Religious Services; Volunteer Services; Second Chance Program (DEW); Residential Substance Abuse; Work Release; Alcohol and Drug Education; Library; Recreation; Visitation; Canteen; Pre-Release Classes; Columbia International University; Crisis Stabilization; Intermediate Care Services; Habilitation Services (outpatient counseling); Sister Care for Abused and Battered Women; Impact for Crime classes; Girl Scouts Beyond Bars; Greyhound Pets of SC; Parenting Education; Parents Anonymous; Storybook Project; Junior Achievement; YWCA Professional Skills Development; HIV Support Group; Breast Cancer Survivors; Words Travel; Friends of Corrections Clothing Program and the Prison Industry Program.

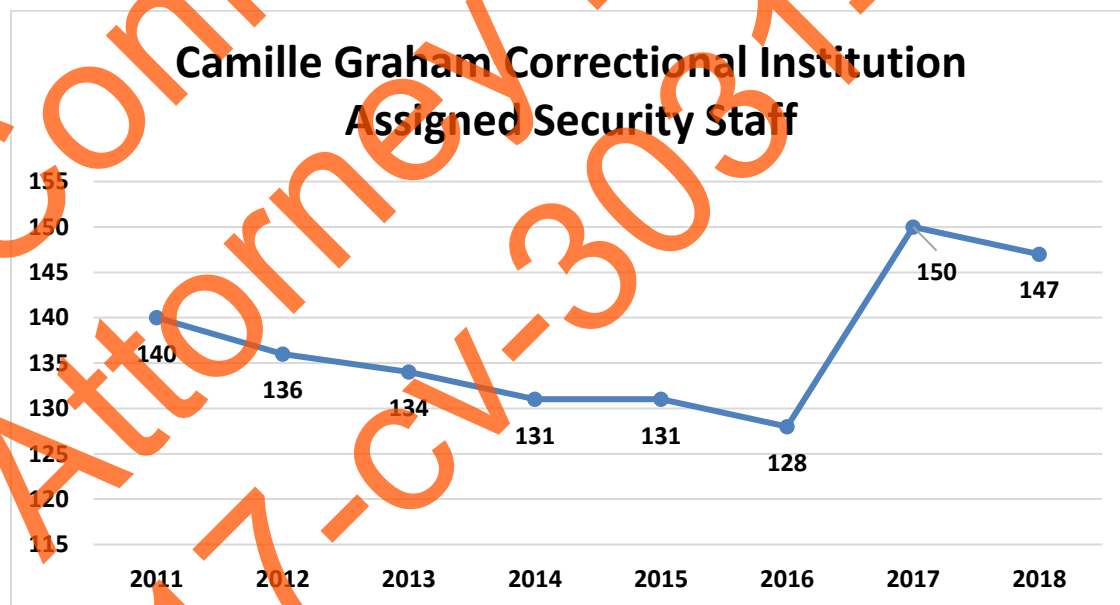


## Security Staffing Profile

On the date of the site visit (October 12, 2017), there were (143) full-time security positions reported as filled. In addition, there were two part-time (pink slip) security personnel assigned as drivers available to provide transportation during the week for the work release program. Each driver operates on a different work schedule with staggered starting and ending times to maximize post coverage. The approved *funding level* was (165) and the recognized *authorized strength* was (178). The approved *funding level* is the number of personnel in each position classification approved by the department to be filled. The *authorized strength* is the department recognized number of security positions that have been identified to operate the facility safely. The *authorized strength* number is determined by the SCDC *Division of Security* based in part on feedback from facility management personnel.

Security staff vacancies have been a concern at Graham for an extended period as the facility has not operated within 90% of the funded level in the past seven years. Starting in 2011, the CGCI security staffing levels gradually went down and continued through 2016. When the Goodman Work-Release Program merged with CGCI (2016) as well as the establishment of a Crisis Stabilization Unit additional security personnel were provided. In January 2016 the security staff level was reported as (128) and in January 2018 the security staffing level was reported as (147), a 14.8% increase from 2016. The department recognized the change in workload and increased the authorized strength from (147) in 2015 to (158) in 2016 to (165) in 2017.

As shown in the following chart there was a significant increase in security staffing at CGCI beginning in 2016 to reflect the additional responsibilities including the operation of the work release program and crisis stabilization unit. The figures below identify the total number of filled security positions at CGCI reported on January 1 of each corresponding year.



Source: SCDC Resource and Information Management

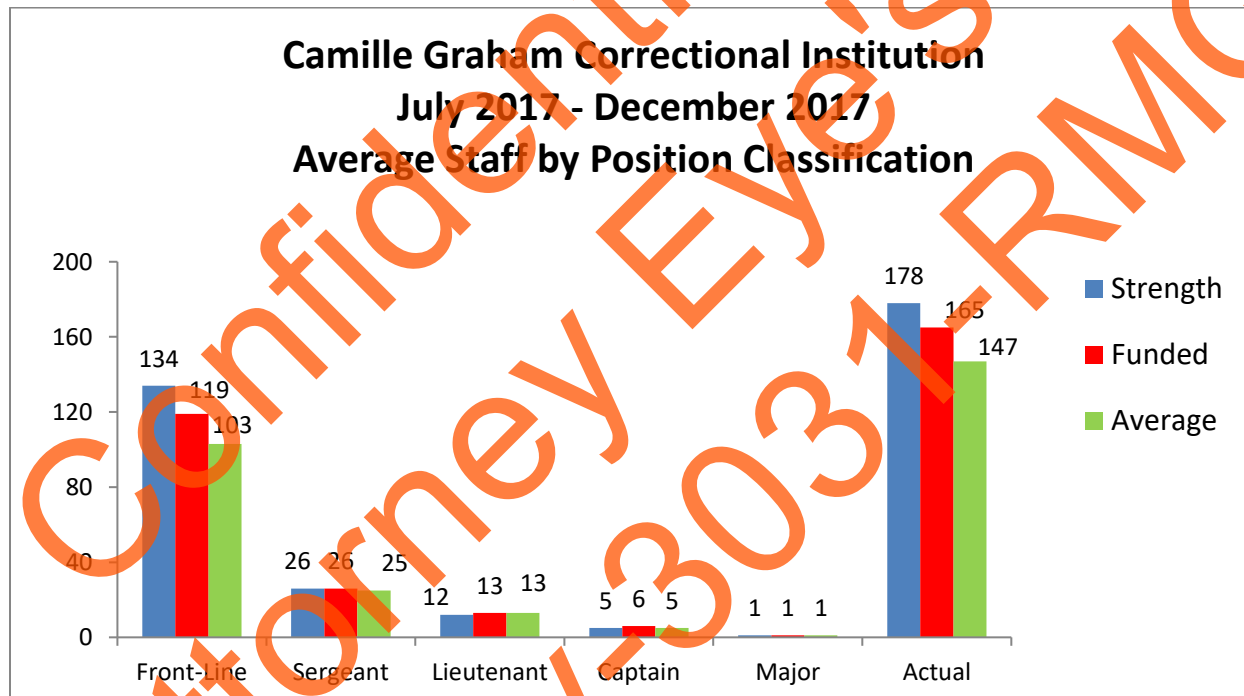
The additional security staff in 2016 and 2017 reflects an increase in both FLS and Supervisory staff. The average number of FLS staff available during 2017 increased by (7) when compared with 2016.

The average number of security supervisors available initially during 2017 increased by (16). Despite the increase, the facility was still operating at 87% of the approved funding level.

### Recent Staffing Trends

The following chart depicts the average staffing levels from July 1, 2017 to December 1, 2017. The facility was operating at a level where there were approximately (18) funded positions that were not being filled. These were funded positions that had been approved by the department; however, remained vacant. In respect to the recommended *authorized strength* level the facility was operating with an average of (31) positions unfilled during the same reporting period. Front-Line positions identified in the chart include cadets, officer I/II's and corporals.

On the date of the site visit facility personnel representing human resources reported there were three assigned security staff on extended leave status including one lieutenant, one sergeant and one officer. Over the past five months an average of two staff were on extended leave status at any time and not considered "post eligible".



Source: SCDC Resource and Information Management

As noted the largest number of vacancies (88.9%) was found in the front-line positions. These are the positions that normally have the most frequent direct contact with inmates and are routinely assigned to inmate housing units provide transports, hospital coverage, inmate escorts and direct security within a specified area. Cadets are generally not assigned to posts that require a firearm and non-certified staff are not permitted to fill a post assignment alone.

## Operational Initiatives in Response to Staffing Levels

Based on staffing, facility management personnel have deviated from the original staffing plan and implemented several initiatives to maintain minimum operations at the facility. These initiatives routinely include the following:

- **Staff responsibilities are expanded beyond the established post order.** Each post assignment includes a written post order that describes the normal responsibilities associated with the post (OP-22.24)<sup>48</sup>. Under normal circumstances security staff are responsible for one post at a time. Staff assigned to existing posts are routinely required to be responsible for meeting both their assigned responsibilities and responsibilities of an additional post;
- **Staff are augmented to leverage existing personnel resources.** Since 89% of the (18) vacancies were in the front-line staff positions, staff outside those position classifications frequently are required to fill front-line staff post assignments.

Based on a review of daily shift assignment rosters, sergeants and lieutenants are frequently used to meet front-line staff post responsibilities, limiting the amount of time available to supervise or perform their normal assigned responsibilities;

- **Filling Mandatory 24-hr. post assignments intermittently.** The Division of Security has developed a post chart as a guideline to identify post assignments required to be filled and when they are to be filled. Existing operational practices frequently result in all posts not being filled and staff assigned to non-stationary posts, intermittently filling posts such as the yard only during peak hours;
- **Staff initially not scheduled to work often fill vacant post assignments at an overtime rate.** Overtime expenditures required to fill post assignments has increased substantially. During the first eleven months of 2016 the overtime expenditure was reported as \$21,292 (rounded) and in 2017 it was \$264,481 (rounded)<sup>49</sup>; This represents the most dramatic increase percentage-wise (1,142%) in overtime expenditures during the reporting period when compared with other facilities reviewed. Overtime was required primarily to back-fill facility post assignments, conduct transports, provide hospital coverage, staff training and to stay after shift because of late reliefs. Providing security staff for hospital coverage at Palmetto Richland, Work Release Program and periodic coverage in the Crisis Stabilization Unit was reported to be instrumental in the increased overtime expenditures;
- **12 hr. Shift Supervisory personnel routinely work 14-15 hr. days.** To meet existing responsibilities, shift supervisory personnel routinely arrive prior to the start of their assigned shift, review staff availability, facility schedules, overall shift workload, manage the shift and remain after their shift is normally over to ensure effective communication and staff coverage all at straight-time. Lieutenants and captains are not eligible for overtime compensation;

<sup>48</sup> SCDC Policy OP.22.24 Post Orders.

<sup>49</sup> SCDC RIM

- **The facility is placed on full or partial lockdown to limit movement outside the cell.** The first eleven months of calendar year 2017 the facility reported they were on full or partial lockdown a total of (8)<sup>50</sup> days. This resulted in reduced access by the inmates to programs and services;
- **Staff assigned to 8 or 12-hour shifts do not consistently receive meal breaks.** Most staff assigned to the shifts rarely receive a recognized break from their post assignment during the shift. Federal (Fair Labor Standards Act) and state labor laws do not require the employer to provide a meal period or break to employees; however, SCDC policy does;

*SCDC Policy ADM-11.21 Regular Working Hours and Overtime cites in section 1.1: The official work schedule for security positions will be either 1.1.1 eight (8) hour shifts or 1.1.2 twelve (12) hour shifts on a 28-day cycle, including at least one 30-minute meal period each shift.*

- **Staff assigned to the 12-hour shifts are routinely scheduled to work a minimum of 168 hours in a recognized 28-day pay cycle.** Staff working the additional 8 hours are compensated at straight-time for working the 8 hours. Initial Department practice was to provide staff assigned to the 12-hour shifts, 8 hours off per pay cycle; however, this practice was no longer occurring. Staff assigned to the 8-hour shifts are routinely scheduled to work 160 hours in the same recognized pay cycle;
- **Personnel are often compensated at an overtime rate to complete required staff training.** Uniformed security personnel are often scheduled to complete required training on their off-days resulting in additional overtime expenditures; and
- **Post Assignments go unfilled.** A review of daily shift assignment rosters from July 2017 through September 2017 reflect all post assignments in the housing units, yard, support service areas, cafeteria, prison industries, chapel and education area are not routinely being filled.

### Key Positions

Administration. The approved administrative core positions for the facility include a superintendent (Warden) and two assistant superintendents (Associate Warden of Operations/Assistant Warden of Programs). The Warden was initially interviewed at the beginning of the assessment, was present during the review of post assignments and debriefed prior to the completion of the on-site assessment. After the initial on-site assessment, the warden was available via telephone to clarify pending issues.

Supervisor Posts. The Major is the top uniformed security post at the facility. This position is routinely considered the Chief of Security and reports to the associate warden of operations. On the day of the site visit, the major position was vacant as a result of a recent promotion.

Each of the (4) 12-hour shifts are supervised by a captain who normally is assisted by a lieutenant. When the captain is off a lead lieutenant assumes supervision of the shift. The shift supervisor is responsible for overseeing shift operations, deployment of security personnel and meeting facility security needs as they arise. On the 12-hour shifts there were a total of eight lieutenants reported to be assigned.

<sup>50</sup> SCDC Operations: Lockdown Statistics.

Each of the (4) 12-hour shifts also have sergeants available to assist in staff and area supervision. There was a total of (18) sergeants assigned to the (4) 12-hour shifts.

The 12-hour day shift starts at 5:45 am and is scheduled to conclude at 6:00 pm. The evening shift starts at 5:45 pm and normally concludes at 6:00 am. Each shift includes an employee paid fifteen-minute shift briefing prior to proceeding to their assignment.

CGCI also applies a “blended” shift schedule that includes staff working an 8-hour shift, which is often referred to as the *C-Card*. This shift is supervised by a captain. The “blended” model generally allows for the concentration of staffing levels to be available at times when the workload and activity levels are generally higher. The objective of the blended schedule is to make more efficient use of available staff resources by having them available in the most beneficial areas at the most appropriate times.

The supervisor posts on this shift may include, Restricted Housing Unit, Environmental Health and Safety, Administrative Services, Key, Armory and Property Control, Staff Training, Contraband Control, R & E and Transportation. There are no personnel assigned as unit managers or unit counselors at CGCI.

Most supervisory staff assigned to the 8-hour shift are scheduled to work from 8:00 am to 4:00 pm Monday through Friday; however, various starting and ending times are used to best meet the needs of the facility.

In reviewing the reporting period of July 2017 to December 2017 on average approximately 29.9% of the filled security positions were considered supervisory positions. The approved funding level for security supervisors at CGCI allowed for (46) positions of which (44) were filled.

Front-Line Security Positions. For this study, front-line security staff positions include cadets, correctional officer I/II's and corporals. Cadets are those uniformed individuals that are 18 to 20 years of age, have not received all the firearms training and are limited in where they can be assigned. Correctional Officer I/II's are the traditional front-line security member age 21 and over and once certified may normally be assigned to most any front-line staff post. Corporals are non-supervisory lead officers with a minimum of 18 months experience that may be assigned to any line staff post within the facility. Individuals in these positions normally serve as the lead employee when two or more front-line staff are working together. For the most part based on current practice and because of existing staffing levels the officer I/II's and corporals are often interchangeable when considering post assignments.

A review of front-line security staffing levels reflected approximately 21% of the front-line security staff had less than one year of service with the SCDC. Staff with less than one year of service are generally prohibited from being assigned to inmate transport posts, restricted housing unit or considered to provide hospital coverage. As a result, on-site post assignments are routinely filled by front-line personnel with limited experience.

Key post assignments where front-line staff are normally assigned include the following: Master Control, Perimeter Patrol, Transportation, PMHR Coverage, Operations, Housing Unit Control, Housing Unit Wing, Vehicle Gate, Vehicle Gate Shakedown, Escort, Cafeteria, Contraband Control, Education, Back Door, R & E, Yard Officer, Road Crew (Litter), Visitation, Medical and Front Gate. Some of these positions are required to be filled 24-hours per day, seven days per week, while others may be required to be filled for 12-hours, 10-hours or 8-hours per day ranging between one and seven days per week. Shift schedules are designed to allow for the concentration of security staffing levels to be available at times when the workload and activity levels in a specific area are generally higher.

For example, The R & E normally receives and processes new arrival inmates every Thursday and occasionally on Fridays during the day shift. Security personnel assigned to other posts throughout the facility are required to fill these intermittent R & E post assignments only during those days when new arrivals are received. In contrast, the Restricted Housing Unit post, which provides direct FLS supervision in the housing unit, conducts wellness checks, inmate counts, cell checks, meal delivery, clothing/linen exchange, internal escort and provides supplies to the assigned population, is required to be staffed 24-hours per day, seven days per week.

In reviewing the reporting period of July 2017 to December 2017, an average of approximately 70% of the filled security positions were considered front-line security (FLS) positions. The approved funding level for FLS staff at CGCI allowed for (119) positions of which on average (103) were filled.

### **Roster Management**

Roster management and staff scheduling at CGCI are considered essential elements in the daily operation of the facility. In-house roster management for security positions are performed primarily by the administrative captain or major in concert with the shift commanders.

A post chart has been developed by the *Division of Security* as required by policy, to identify recommended staffing levels and to guide facility personnel on where and when to fill identified post assignments. In addition, minimum staffing levels have been established for the 12-hour day and evening shifts. At Camille Graham the 12-hour minimum staffing level established by the *Division of Security* for the day shift is (25) and for the evening shift is (22). A review of the sample daily rosters provided, reflected that when normal leave-time was applied the facility did not meet established minimum established levels on any of the (4) 12-hour shifts.

Shift Assignments. Facility management personnel at CGCI have developed a master shift assignment roster for security staff that identifies the personnel assigned to each shift, their position classification, status, those attending the training academy and those on leave status. A review of the master shift assignment roster reflected a relatively balanced division of staff in both numbers and position classification between the (4) 12-hour shifts.

A separate shift assignment roster has been developed for staff assigned to the Youthful Offenders and Shock Incarceration programs to ensure coverage. Staff are assigned to one of four 12-hour shifts coordinated by a dedicated shift commander. Each shift contains a security supervisor and dedicated front-line staff. The 8-hour shift reflected a total of (11) supervisors and (8) front-line staff assigned to the YOIS roster on the date of the site visit.

In view of the impact transports and hospital coverage has on the facility, it appears personnel assigned to a 12-hour shift are often pulled from their shift to assist in providing transports which are traditionally considered an 8-hour or 10-hour post assignments. This results in fewer staff normally being available to fill post assignments within the perimeter.

Daily Shift Rosters. In addition to the master shift assignment roster daily shift rosters are also maintained for the 12-hour shifts that identify in more detail the actual staff assigned by day, their post assignment, staff on leave and responders. Daily shift rosters appeared to be completed for each shift as required.



In reviewing the daily rosters there was no reference to post classifications or a recapitulation table provided to identify how all the staff originally assigned to the shift were being utilized. The initial conjecture is all staff scheduled are assigned to a post and no staff from another shift are working a post assignment. Based on reported overtime expenditures this does not appear to be the case. The daily shift rosters are designed to identify how scheduled personnel are utilized and to provide a necessary tool to document staff accountability and staffing needs.

The *C-Card* maintains an automated daily shift roster that identifies the name of the employee, gender, employee number, where they are assigned and if applicable leave status. Staff reported a manual daily shift assignment roster was not normally being completed; however, an automated version is provided.

In practice based on a combination of document review, on-site observation and staff interviews the following post assignments were routinely being filled:

Housing Units; Restricted Housing Unit Control; Restricted Housing Wing; Reception and Evaluation Wing; Outer Perimeter Patrol; Front Gate; Contraband; Transportation; Hospital Coverage; Shift Commander; Shift Lieutenant; Yard Officer; Back Door Officer; Main Control; Operations/Recorder; Gatehouse; Cafeteria; R & E Supervisor; Crisis Stabilization Supervisor; Crisis Stabilization Wing Officer; YOIS Officer; Environmental Health and Safety; Property Control; Armory /Key Control and Litter Crew.

Post Coverage. By memorandum from the *Division of Security*, post assignments should be classified as either, Pull Post Level I, Level II, or Level III (mandatory) to assist shift supervisors when determining which posts can be temporarily collapsed or closed due to staff shortages, emergencies, overtime reduction efforts or other reasons deemed necessary by the shift commander or facility management. The classification of post assignments is designed to ensure certain posts are shut down first.

The approved post chart identified several post assignments as mandatory. In reviewing approximately 40 sample daily shift rosters, and interviewing staff it appeared all but one of the mandatory posts identified in the *Division of Security* post chart were routinely being filled. The Inner Perimeter Patrol post was not being filled as a dedicated post. Internal perimeter checks were reported to be conducted as an additional responsibility; however, the post was not considered a dedicated post assignment during the shift as reflected in the Post Chart.

The other operational inconsistency involved the actual number of staff routinely assigned to all the identified mandatory posts, when more than one post was recommended.

The total staff assigned to the general population housing units did not consistently include six or more staff. On those dates where fewer than six staff were assigned, a higher than normal number of staff were using benefit-time or being assigned to additional post responsibilities including the "outside hospital".

A post responsibility that did appear to be consistently filled, that was not identified on the post chart, was the post identified as the "Outside Hospital". The facility was ranging between two and ten (9/27/17) security staff per shift to provide on-site security coverage at the Palmetto Richland Memorial Hospital. In reviewing hospital coverage workload responsibilities at CGCI for a 12-month period from December 2016 to November 2017 the facility averaged 4.5 staff per 12-hour shift to the PRMH each day. The post chart does not provide a staffing allowance to meet these daily responsibilities.

At Camille Graham, the basic elements of a roster management system are in place except for having an appropriate number of security personnel to meet workload responsibilities. A post analyses has been completed, master shift assignment rosters have been developed and daily shift rosters are completed on each shift. The primary concerns identified are there are not enough security personnel to meet existing workload responsibilities without relying on staff working potential overtime, working outside their position classification or staff working more than one post assignment.

Additional concerns with the roster management system include the following:

- The post chart identifies mandatory posts that need to be filled and are not routinely being filled due to available staffing levels. The current operating practice when insufficient staff are available is to contact qualified staff currently assigned or on their off-day, to determine their interest in working additional hours. Based on the number of staff that are interested in working additional hours, combined with the scheduled staff the shift fills as many posts as possible. Most often this results in mandatory posts going unfilled, staff working multiple posts and post assignments remaining unfilled;
- The post chart needs to be updated to include additional existing workload responsibilities, i.e. "outside hospital";
- The recommended minimum staffing levels for each 12-hour shift needs to be reviewed and updated on a regular basis. Daily shift rosters reflected established minimum staffing levels were not being met on a consistent basis due to staffing levels. Monthly in-house reviews should be completed to determine the effectiveness of the system, identify core posts and to confirm or re-establish minimum staffing levels; and
- Daily shift rosters need to be updated to reflect how all staff assigned to the shift are being utilized. The daily roster should identify the names of all staff assigned to the shift, the approved post assignments, the post classification, post closures, the employee assigned to each post and include a recapitulation table. Staff assigned to posts for less than a full shift, detailed to a special assignment, not normally assigned to the shift should be clearly identified on the daily roster.

### Staffing Summary

The most significant concerns reported by facility personnel regarding staffing involved the following:

PRMR coverage. Providing Palmetto Richland Hospital inmate coverage drastically impacts staff availability within the facility. Providing inmate hospital transports and coverage at the hospital occurs most often daily. The number and type of staff required to provide hospital coverage varies. A review of daily shift assignment rosters reflects an average of (4.5) employees are required to provide outside hospital coverage for each shift on a regular basis. This represents approximately one-third of the non-supervisory security staff assigned to a 12-hour shift.

As a result, line staff posts inside the facility are routinely closed, filled by staff working overtime, filled mostly by staff with less than one year of service or filled intermittently by supervisory personnel.

On the date of the site visit, documentation reflected twenty-one of the eighty-six officers assigned to the facility had less than one year of service.

Additional facility responsibilities besides hospital coverage have been added to daily operations in the recent years. Staff reported these additional responsibilities include the operation of the Crisis Stabilization Unit, formalized Intermediate Care Services and the Work Release Program. The CSU responsibilities were added in 2017 and the Work Release responsibilities were added in 2016. The department recognized authorized strength for the facility has increased by (18) since 2015 as has the average staffing level during the recent reporting period.

CSU and ICS. CSU and ICS programs require both structured and unstructured out of cell time, access to programs and treatment and when appropriate participation in group therapy. The programs and services are driven by national best practices and the recognition of the mental health settlement agreement<sup>51</sup>. The Blue Ridge Housing Unit offers housing, services and program space to operate secure residential treatment programs.

Most structured and group treatment are scheduled on the day shift Monday through Friday. Based on the type of inmate involved in the programs, proper security staffing levels need to be aligned with both meeting traditional responsibilities and treatment schedules. Staff need to be available and present to assist in facilitating, monitoring and creating an environment where treatment personnel can focus primarily on treatment goals and not focus primarily on safety issues. Triaging scheduled treatment, due to limited security staff should not be considered an option in the development of a staffing plan. Certified mental health techs have been added to supplement program and service delivery; however, should not be considered a replacement for having trained correctional officers.

Work Release. Inmates assigned to the Work Release Program are required to be kept separate from the general population and to be transported to and from their approved job/program site in the community. Job schedules include inmates being assigned during all seven days of the week. Part-time transport drivers are available on a limited basis. As a result, scheduled transports occur every day requiring in-house staff to be available to provide additional transports.

A review of security staffing levels for CGCI reflect that in January 2016 there were 119 positions filled, in December 2016 there were 142 filled and on November 1, 2017 there were 144. It appears security staffing levels have increased significantly since January 2016 although required post assignments and workload responsibilities remain vacant and overtime expenditures have reached accelerated levels.

#### **Recommended Post Assignment Enhancements**

**PMHR Hospital.** Providing Palmetto Richland Hospital coverage appears to drastically impact staff availability within the facility. The September 2017 post chart developed by the *Division of Security* for CGCI does not recognize any posts to be provided for "Outside Hospital" coverage. A review of (40) 12-hour shift daily rosters dated from July 2017 to October 12, 2017, indicate staff were assigned to the "Outside Hospital" in (39) of those rosters. The number of staff assigned varied from one to ten, with the average being between four and five per shift.

<sup>51</sup> T.R. V. South Carolina Department of Corrections, No. 2005-CP-40-02925).

Based on staff deployment practices, it appears that personnel assigned to the 12-hour shifts are being routinely assigned to PMHR to provide inmate hospital coverage. Since the posts are not recognized on the post chart, there is no staffing allowance provided.

As a result, staff are being pulled from the shifts; in-house post assignments are being filled by staff already assigned to another post, staff working overtime and/or supervisory personnel filling multiple post assignments. "Outside hospital" coverage posts are recommended to be recognized on the post chart as a routine responsibility, similar to transportation posts;

**Inmate Transportation.** Transport requirements as stipulated in policy<sup>52</sup> include a minimum of two certified officers for all inmates considered Level 2 and above. Special at-risk transports require supervisory security personnel and may require more than two staff. A review of daily shift rosters indicates on average six employees are normally required to provide inmate transportation. On almost all scheduled inmate transports they normally occur Monday through Friday during the day shift. The number of staff assigned to transportation based on the daily rosters that were provided ranged from four to eight. Current practice is to have one sergeant and six front-line staff assigned to the transportation team. Based on documented workloads this appears appropriate. These transport responsibilities should not be confused with providing hospital coverage as they are two separate responsibilities. The Division of Security post chart allowance recommends six front-line staff and one sergeant to meet the workload demand;

**Crisis Stabilization Unit.** The CSU is a medical and mental health care unit designed to provide housing, programs and services for a high-risk adult female population. When an inmate or inmates are assigned to the Crisis Stabilization Unit an additional officer is required to be present on the wing. If the inmate is to be removed from their cell for programs and/or services based on policy a minimum **of two staff are required to be present.** Current practice is to use a corridor in the housing unit referred to as "Blue Ridge" to provide, housing, programs and most services for inmates assigned to the CSU.

Daily shift rosters reflect two dedicated front-line staff are assigned to "Blue Ridge", as well as a zone supervisor and a C-Card supervisor as part of their shift responsibilities. During calendar year 2017, there were (149) admissions to the unit. The reported average length of stay was slightly less than ten days. On the day of the on-site review there was one inmate assigned to the CSU who was scheduled to be transferred the following day. To meet the custody and treatment demands of the program, security staffing levels vary based in part, on the number of inmates assigned to the unit.

The unit includes two separate wings and on the CSU wing there are two separate corridors (hallways) providing secure housing. On one corridor, modifications have been completed to provide converted interview space, enhanced security, modified cells and surveillance options. This corridor is designed for inmates admitted to the CSU. On the other corridor located within the same wing, are select ICS inmates housed in secure cells. Whether there are any CSU inmates on the wing or not there are still potentially at-risk inmates assigned to the wing that require wellness checks, treatment access and supervision. When there is an inmate(s) assigned to the CSU additional mandated personnel are to be assigned to ensure safety, programs and service requirements are being met.

<sup>52</sup> SCDC OP-22.10, Transportation of Inmates outside the Institution.

The updated staffing recommendation includes the provision of (3) properly trained FLS staff, seven-days per week on the day shift when an CSU inmate(s) is present, a dedicated sergeant, and a five-day, 8-hour shift lieutenant to ensure program services are integrated into the daily schedule, in a manner consistent with appropriate security measures. On the night shift, based on the number of CSU inmates present, a minimum of (2) FLS staff and one sergeant is being recommended;

**Court Yard.** The Graham Correctional Institution is a campus-style facility with six housing units, programs and service areas surrounding an open courtyard. To move from the housing units to most program activities and services inmates are required to walk through the courtyard. The courtyard contains the main outdoor recreation area for the facility. There is very little interior fencing and gates to assist in controlling inmate movement. It is essential and a fundamentally sound correctional practice that security personnel be present to monitor, control access and authorize inmate movement. Current practice is to assign a yard sergeant and a yard officer when available to assist in this area.

Based on the size of the facility and location of work, program and service areas in relation to the housing units, dedicated yard officers should be consistently assigned to the courtyard to control access, monitor existing activity levels, including medical pill and insulin lines, provide internal roving security and serve as responders. There are several areas throughout the facility where inmates are assigned where only civilian or contractual personnel are present. Such areas include in part: prison industries, education, canteen/commissary, multi-purpose, and chaplaincy. Intermittent supervision, at the least should be provided and can be met, when sufficient security personnel are assigned to the yard. A review of daily rosters and site observation indicate this staffing pattern does not normally occur. On the day of the site visit, the shift commander was assigned to the courtyard. In view of the layout of the facility a minimum of two staff should be assigned to monitor and patrol the courtyard and surrounding area.

**Post Relief.** In view of the available staffing levels at Graham, staff assigned to the shifts do not normally receive a rest or meal break during their shift. There is usually no staff available to provide such relief. State and federal regulations do not mandate employers to provide breaks; however, SCDC policy does<sup>53</sup>. Under the current circumstances and based on existing staffing practices most front-line staff are not only filling one post assignment they are routinely filling two. The value and benefits of providing short breaks to staff filling 12-hour posts should be fully recognized. Establishing "Security/Relief" posts that provide temporary relief to staff assigned to a post assignment is identified in the updated post chart recommendation;

**Shift Relief.** The shift relief factor allowance is not fully reflected in current staffing levels. Security personnel time-off is generally covered through assigning overtime, closing posts, or redeploying staff from other designated post assignments. An updated shift relief factor is applied to most post assignments to reflect the importance of meeting associated workload responsibilities;

**Youthful Offenders/PREA.** CGCI houses adult females sentenced under the Youthful Offender Act. The Youthful Offender Institutional Services (YOIS), focuses on the needs of offenders ages 17-25, sentenced by the courts as Youthful Offenders, is a behavior and performance-driven program. Youthful Offender Institutional Services (YOIS) is required to provide programming to include: education, work details, mental health services, behavioral health counseling, and substance abuse services. Youthful offenders due to the small number and lack of alternative space were being housed separately on a wing with inmates participating in the Shock Incarceration Program.

<sup>53</sup> SCDC Policy ADM-11.21 Regular Working Hours and Overtime.



The PREA standards state that any person under the age of 18, and incarcerated or detained in a prison, must be housed separately from any adult inmates and, outside the housing unit, “sight and sound separation” or direct staff supervision must be maintained. This federal standard requires significant resources, including providing security staff to maintain supervision at a level separate from the general population. Sufficient housing unit personnel are being recommended to assist in providing separation, escort and detailed in-house supervision based on current population levels.

### Shift Relief Factor (SRF)

An updated shift relief factor has been developed for Camille Graham based on data provided by personnel assigned to the Research and Information Management Division (RIM). The shift relief factor (SRF) represents the number of staff required to fill a post assignment throughout the year and is based on the number of hours the post needs to be filled divided by the number of hours the average employee assigned to the post is available.

Staff attendance, off-post hours and leave-time results are inputted into a department recognized electronic data base and transferred into an automated system that can identify the shift relief factor. The SRF electronic workbooks have been set up to allow the user to specify the institution and hours per shift which will automatically recalculate the SRF accordingly.

The SRF calculation for this project is based on the following:

- All security staff (cadets – major) who were assigned to the institution during the entire year;
- A blended work schedule, including the use of both an eight-hour administrative shift (160 hours) and the straight 12’s (168 hours) schedule;
- An average of the three most recent completed years that was available at the time the report was being initially prepared. This included 2015, 2016 and 2017.
- The purpose of evaluating data from the past three years instead of one year minimizes the chances the SRF will be influenced by one or more unusual factors or outliers. At Camille Graham the use of leave-time had been consistent during the three-year period;
- The SRF is reflective of the facility being fully staffed; and
- Most posts recommended are considered relief posts. Refer to Appendix A for the detailed formula used to determine shift relief factors.

Camille Graham Shift Relief Factors – 2018			
Average 2015, 2016, 2017	8 Hour Shift 5-days	8 Hour Shift 24/7-Days (160 hrs.)	Straight 12-Hour Shift 24/7 days (168 hrs.)
Institution			
Camille Graham CI	1.3	5.46	5.03



A shift relief factor of 5.03 can be translated to mean that for one year an average of approximately five staff (5.03) will be required to fill one 24-hour post assignment when applying the straight 12-hour shift schedule (168 hours). A five-day shift relief factor for one 8-hour post assignment requires an average of 1.30 staff (160 hours) throughout the year.

### Staffing Level Recommendations

A recommended post chart has been developed to identify the number of security staff recommended to meet the current mission of the Camille Graham Correctional Institution when fully operational. As the mission changes the staff requirement may also change.

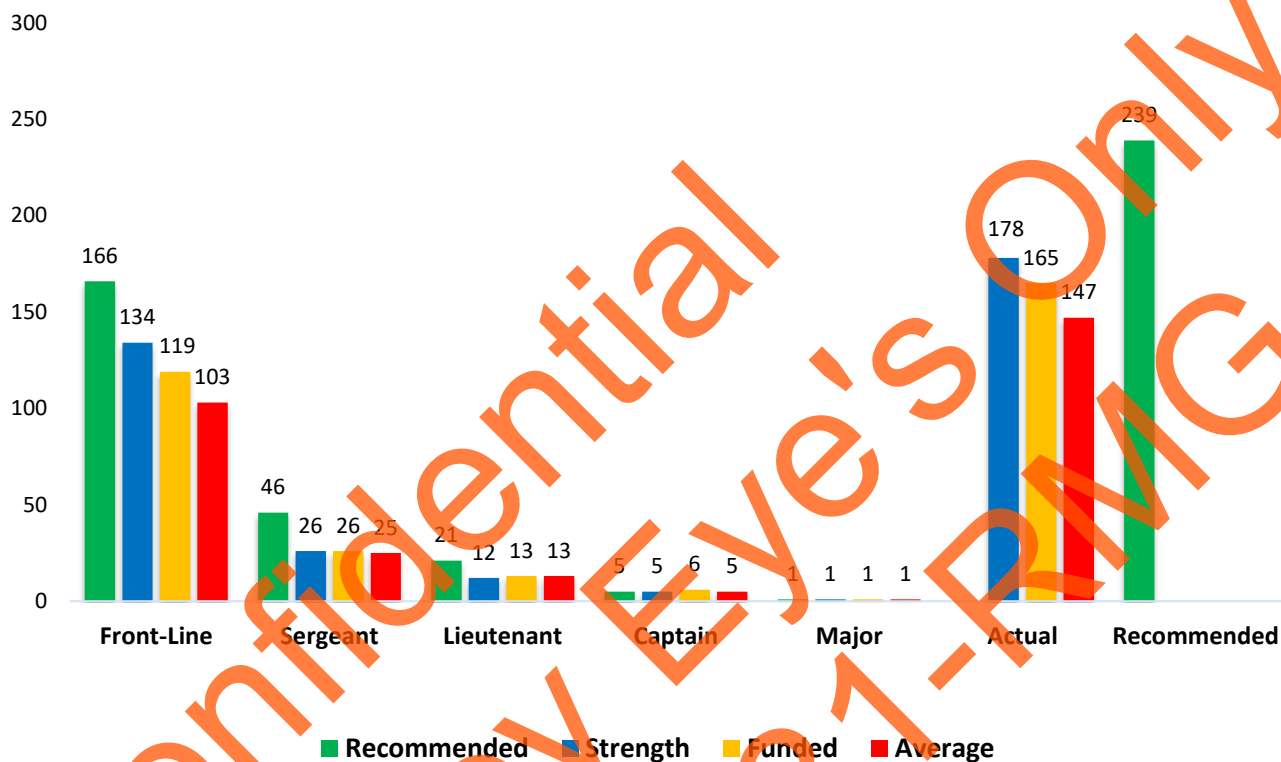
The staffing recommendation is based on applying the following:

- A blended work schedule consisting of a 12-hour work schedule (168 hours) and an 8-hour (160 hours) administrative schedule;
- A 28-day pay cycle applying Section 7(k) of the Fair Labor Standards Act (FLSA) to determine the overtime threshold;
- A shift relief factor based on the most recent available three-year average leave-time and reported authorized time unavailable to fill a post, i.e. staff training, meal break;
- The facility fully operational including staffing all existing housing, program and service areas;
- The facility continues to operate under the established policies and current mission; and
- Taking into consideration security staffing related requirements as stipulated by court orders, settlement agreements, state and federal laws.

<b>Camille Graham Correctional Institution Security Staff Recommendation</b>	
<i>Position Classification</i>	<i>FTE</i>
Major	1
Captains	5
Lieutenants	21
Sergeants	46
Front-Line Staff	166
<b>Total</b>	<b>239</b>

The recommended security staffing level for the Camille Graham Correctional Institution is 239. The facility had been operating at 61.5% of the recommended level during the reporting period. A detailed listing of recommended post assignments for the facility can be found in the appendix.

**Camille Graham Correctional Institution  
July 2017 - December 2017  
Average Staff by Position Classification  
Recommended Levels**



## **Leath Correctional Institution**

The Leath Correctional Institution (LCI) is a state operated multi-level facility located approximately 78 miles northwest of Columbia near the town of Greenwood, South Carolina. The facility was opened in 1991 and serves as one of two secure adult female correctional facilities. The reported operating capacity at Leath is 652 and the average daily population during the last six months of 2017 was 698. Triple celling in double-occupancy cells was being used in several housing units and one housing unit was not being used due to limited staffing levels.

Leath's inmate population consists of a combination of minimum, medium and maximum-security inmates. On the date of the site visit approximately 46% of the population was considered 1B (minimum), 39% were medium custody and 15% were considered maximum-custody. Inmates classified as level 1B were assigned to highway work crews, select prison industry assignments, canteen, commissary and considered for work details outside the perimeter. Approximately 54% of the LCI population were on a mental health caseload.

A wide variety of program services are available and integrated into the daily facility schedule. Primary programming includes ABE/GED, Vocational Education, Religious Services, Anger Management, Character-Based Program, Volunteer Services, Alcohol and Drug Education, Pawsitive Prison Dog Program, Highway Work Crew, Mental Health Services, Library, Law Library, Recreation, Visitation, Canteen and the Prison Industry Program. There are also several focus groups and specialized services offered under the Chaplaincy Division that are held in the Chapel area.

In addition to providing housing and program services for general population inmates, LCI also provides services for special programs including the Restricted Housing Unit, Mental Health Housing and the Character-Based Program.

- The Restricted Housing Unit is provided to house inmates requiring more intense behavioral levels of supervision. These inmates are housed and programmed in a separate wing from inmates assigned to the general population;
- A mental health residential program has been developed in the Phoenix building to centralize a portion of the mental health services and provide program services for a targeted population; and
- The Character-Based program is a volunteer peer-oriented program focusing on establishing life-style changes.

The physical plant at Leath was built as a multi-level security facility and is surrounded by a single fence reinforced with razor ribbon, electronic surveillance equipment, high-mask lighting, vehicle access gates, perimeter patrol and an alarm detection system.

Inside the perimeter there are a variety of buildings and open space provided to help meet existing facility responsibilities. The physical plant includes the following:

Front Gate; Vehicle Access Gate; Main Control; Administration Building; Visitation Area; Medical; Education; Canteen; Cafeteria; Commissary; Laundry; Hair Care Services; Greenhouse; Plant Maintenance; Prison Industries; Chapel; Braille/Gym Building; Restricted Housing Wing; five operational housing units; open courtyard and a 192-bed closed housing unit.

Food Services are normally provided to the general population inmates in the main cafeteria which is in the Support Services area.



### Housing Unit Designs

There are four primary housing unit designs at LCI. All the **operating housing units** contain secure cells. The designs are consistent with nationally recognized practices for a medium security facility and include both direct and indirect supervision units. In total there are five operating housing units at LCI. The closed unit, referred to as “Reynolds”, provides dormitory style housing with a capacity of (192) and has never been used due in part to available staffing levels.

- Four of the units are designed as **indirect supervision** units and are used primarily to house general population inmates. Each housing unit has four separate secure living areas and a centrally located open elevated officer work station. Visibility into the living areas can be achieved from the officer work station. Inmate housing is provided in cells located on one of two levels, the ground level and mezzanine level. **Each cell contains a toilet, wash basin and up to three beds, except for in the Restricted Housing Wing.** Showers, telephone access, dayroom space and passive recreation are available in each wing. The operating capacities for each of the four housing units range from (144 to 152). One wing in the housing unit referred to as “Montague”, was being used to house inmates assigned to Restricted Housing.

The Restricted Housing Wing contains single and double occupancy cells and is the only wing in this design where the primary officer work station is located within the living area. In the Restricted Housing wing there are no cells with three beds;

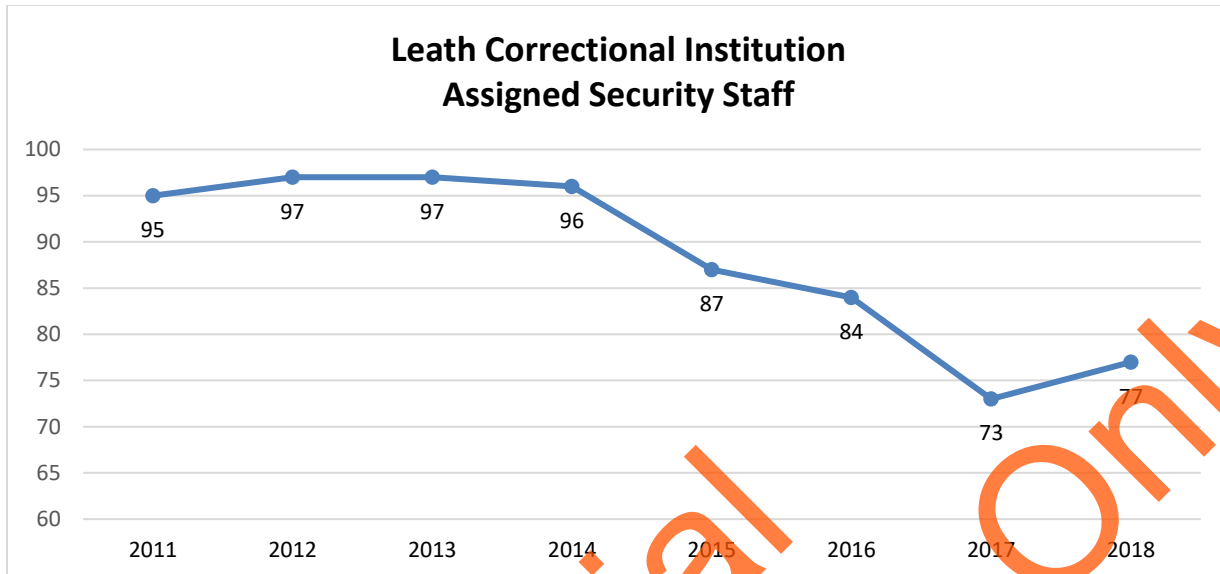
- **Phoenix.** In addition to the four indirect supervision units there is one **direct supervision** unit, which staff referred to as “Phoenix”. Officer work stations are located both within the living area as well as outside the living area immediately adjacent to the inmate living space. The unit was designed to have officers stationed in the living area. The unit contains two wings and secure cells located on both the ground floor and mezzanine level. In addition to the dayroom, an officer work station, showers, program space, telephone access and passive recreational opportunities are available. In total, the operating capacity of the unit is 248. One wing contained strictly a mental health caseload, four single safety cells and four single occupancy handicapped cells; and
- **Reynolds.** The housing unit referred to as “Reynolds” is a 192-bed single level housing unit with a centrally located officer work station and two separate living areas, one of which is located on each side of the officer work station. The living area is an open bay design similar to a dormitory and contains no cells. Facility management personnel reported the unit has never been used due in part to available staffing levels.

### Security Staffing Profile

On the date of the site visit (November 1, 2017), there were (74) full-time security staff positions that were filled. The approved *funding level* was (101) and the recognized *authorized strength* was (103). The approved *funding level* is the number of personnel in each position classification approved by the department to be filled. The *authorized strength* is the current recognized number of security positions identified to operate the facility safely. The *authorized strength* number is determined by the SCDC *Division of Security*.

Security staff vacancies have been a concern at LCI for the last several years. In January 2011 through January 2014, the facility was operating with an average of (96) security staff. Beginning in March 2014, the number of filled front-line security (FLS) staff began to decline on a consistent basis and remained significantly deficient through 2017. The following chart identifies the total number of reported security positions filled on January 1 of each year.





Source: SCDC RIM

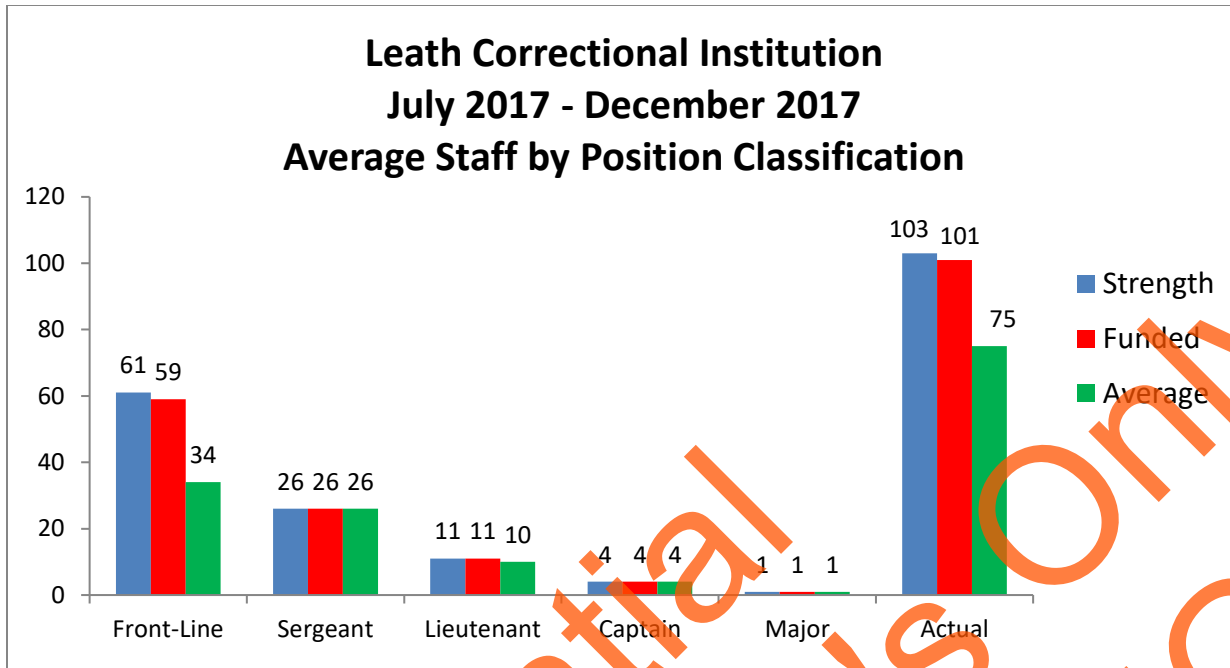
The facility was operating in 2017 with approximately 23% fewer staff than were available in January 2014. There is no indication workloads have significantly changed during the past three years to justify the decrease. One housing unit was closed due in part to limited staffing levels and three inmates were assigned to several cells originally designed for two. At the time of the review, LCI was operating at extremely deficient levels when compared with both the recommended and approved funding levels.

#### Recent Staffing Trends

During a more recent reporting period from July 1, 2017 to December 1, 2017 the facility has operated with an average of (75) total security staff. This represents nineteen fewer staff on average available to fill post assignments than three years earlier. Facility management staff reported many staff had retired after reaching 25 years of service and most positions had not been replaced.

The following chart identifies the **average staffing levels** by position classification during the reporting period of July 1 through December 1, 2017. Front-Line positions identified in the chart include cadets, officer I/II's and corporals.





Source: SCDC RIM

The chart shows the largest number of vacancies (96%) was found in the front-line positions. These are the positions that normally have the most frequent direct contact with inmates and routinely include assignments such as, housing units, shakedown, transportation, hospital coverage, inmate escorts and direct security within a specific area. Cadets are not eligible to be assigned to posts that require a weapon and non-certified staff are not allowed to fill a post assignment on their own.

An additional note as reflected in the chart, is there were more security supervisor positions than front-line positions filled during the reporting period. On average, there were (41) security supervisors and (34) front-line staff. Supervisory positions in this report include sergeants, lieutenants, captains and the major. When considering the facility post responsibilities, this staffing pattern routinely results in supervisory staff filling critical front-line post assignments and not being able to focus on one of their primary responsibilities which includes staff supervision.

During the recent reporting period the facility has operated at approximately 74.3 % of the approved funding level. As a result, all critical mandatory post assignments are not routinely being filled. When this occurs the ability to complete fundamental security practices associated with effectively operating a correctional facility normally do not occur at the desired frequency.

#### Key Facility Positions

Administration. The approved administrative core positions for the facility include a superintendent (Warden) and two assistant superintendents (Associate Warden of Operations/Assistant Warden of Programs).

The warden was initially interviewed at the beginning of the assessment, provided the post assignment and operations tour and was debriefed prior to the completion of the on-site phase of the assessment. The warden was further contacted by telephone to assist in clarifying pending issues.

Supervisor Posts. The Major is the top uniformed security position at the facility. This position is routinely considered the Chief of Security and reports to the associate warden of operations. On the day of the site visit the major position was filled.

Each of the (4) 12-hour shifts are supervised by a captain who normally is assisted by lieutenants. When the shift commander is off-duty the lead lieutenant assumes supervision of the shift. The shift supervisor is responsible for overseeing shift operations, deployment of security personnel and meeting facility security needs. 12-hour shift lieutenants, when not assigned as shift commander or assistant shift commander are normally assigned as yard or housing unit supervisors. Each of the (4) 12-hour shifts also have sergeants available to assist in staff supervision, yard coverage and housing unit support.

The 12-hour day shift starts at 5:45 am and is scheduled to conclude at 6:00 pm. The evening shift starts at 5:45 pm and normally concludes at 6:00 am. Each shift includes an employee paid fifteen-minute shift briefing prior to proceeding to their assignment.

In addition to the 12-hour shifts LCI applies a “blended” staffing model for shift scheduling that includes staff also working an 8-hour shift, commonly referred to as the *C-Card*. This shift is supervised by the major. The “blended” model generally allows for the concentration of staffing levels to be available at times when the workload and activity levels are generally higher. The objective of the blended schedule is to make more efficient use of available staff resources by having personnel available in the most beneficial areas at the most appropriate times.

At LCI the individual supervisors assigned to work an 8-hour shift are normally assigned to one of the following areas: *C-Card* Assistant Shift Supervisor, Environmental Health and Safety, Property Control, Contraband Control, Litter Crew, Transportation, Restricted Housing, Armory/Key Control and Prison Industries. Most staff assigned to the 8-hour shift are scheduled to work from 8:00 am to 4:00 pm Monday through Friday; however, various starting and ending times are applied to best meet the needs of the facility.

In reviewing the reporting period of July 2017 to December 2017 on average approximately 54.7% of the filled security positions were considered supervisory positions. The approved funding level for security supervisors at LCI allowed for (42) positions of which (41) were filled.

LCI does not currently apply the unit management concept as is the practice at many of the SCDC adult male facilities.

Front-Line Security Staff. For this study, front-line security staff positions include cadets, correctional officer I/II's and corporals. Cadets are those uniformed individuals that are 18 to 20 years of age, have not received all the firearms training and are limited in where they can be assigned. On the date of the site visit the facility did not report having any cadets. Correctional Officer I/II's are the traditional front-line security member age 21 and over and may normally be assigned to most front-line staff post once they are certified.

Non-certified security personnel are not able to fill a post assignment alone until becoming certified and staff with less than one year of service is normally not eligible to fill a transportation post, be assigned to the restricted housing wing or provide hospital coverage. As a result, approximately 32% of the front-line security (FLS) staff was limited in where they could be assigned. Corporals are non-supervisory lead officers with a minimum of 18 months experience that may be assigned to any line staff post within the facility. Individuals in these positions normally serve as the lead employee when two or more front-line staff are working together. For the most part based on current practice and because of existing staffing levels the officer I/II's and corporals are frequently interchangeable when considering post assignments.

A review of front-line security staffing levels on the date of the site visit reflected all but three of the (34) front-line security staff were certified and eight had less than one year of service with the SCDC.

When considering the number of front-line personnel assigned to the 12-hour shifts there were a total of (31) certified front-line staff assigned<sup>54</sup> to fill post assignments located in five different housing units, main control, outer perimeter and the yard all of which are considered mandatory 24-hour posts. These ten posts are all 24-hour, seven days per week posts that are recommended to be filled.

When applying the seven-day shift relief factor of (5.1) to the (9) above 24-hour posts, (45.9) front-line staff would be required during the **year just to fill these posts**. Leath had a total of 31 certified front-line staff assigned to the facility and many additional support posts recommended to be filled.

The current FLS staffing level does not allow a sufficient number of posts to be consistently filled without relying on staff working extra hours, closing posts or using staff working out of their position classification.

Additional post assignments where front-line staff may be assigned include the following: Front Lobby; Transportation; Prison Industries; Vehicle Gate; Chapel; Litter Crew; Contraband Control; Visitation; Education; Hospital Coverage and Grounds Maintenance.

Some of these positions are required to be filled 24-hours per day, seven days per week, while others may be required to be filled for 12-hours, 10-hours, 8-hours or less per day ranging between two and seven days per week. Shift schedules are designed to allow for the concentration of security staffing levels to be available at times when the workload and activity levels in a specific area are generally higher.

The recent reporting period of July 2017 to December 2017 reflected on average approximately 45.3% of the filled security positions were considered front-line security (FLS) positions. The recommended level for FLS staff at LCI is (96) positions of which on average (34) were filled.

### **Operational Initiatives in Response to Staffing Levels**

Based on existing staffing trends facility management personnel have deviated from the original staffing plan and implemented several security initiatives in attempt to maintain minimum operations at the facility.

These initiatives routinely include the following:

<sup>54</sup> Leath CI November 1, 2017 shift assignment roster.

- **Staff responsibilities are expanded beyond the established post order.** Each post assignment includes a written post order that describes the associated responsibilities with each post assignment (OP-22.24)<sup>55</sup>. Under normal circumstances security staff are responsible for one post at a time. Staff assigned to existing posts are routinely required to be responsible for meeting both their assigned responsibilities and responsibilities of an additional post. This occasionally results in fewer inmate escorts, delays and or cancellations in program and service delivery;
- **Staff are augmented to leverage existing personnel resources.** Approximately 96% of the vacancies were in the front-line staff positions resulting in personnel outside those position classifications frequently being required to fill front-line staff post assignments. Based on a review of daily shift assignment rosters, sergeants and lieutenants are frequently used to meet front-line staff post assignments, limiting the amount of time available to supervise or perform their normal responsibilities;
- **Shift Supervisory personnel routinely work 14-15 hr. days.** To meet existing responsibilities, shift supervisory personnel routinely arrive prior to the start of their assigned shift, review staff availability, facility schedules, overall shift workload, manage the shift and remain after their shift is normally over to ensure effective communication and staff coverage. Lieutenants and captains are considered exempt employees and not eligible for overtime;
- **The facility is placed on full or partial lockdown to limit movement outside the cell and reduce staff workload.** During the first eleven months of calendar year 2017 the facility reported they were on full or partial lockdown a total of 45<sup>56</sup> days due to staff shortages. This resulted in limited access for the inmate population to programs and services during those days;
- **Personnel are often compensated at an overtime rate to complete required staff training.** Uniformed security personnel are routinely scheduled to complete required training on their off-days resulting in additional overtime expenditures;
- **Post Assignments go unfilled.** Daily shift assignment rosters from July 2017 through November 2017 reflect all post assignments in the housing units, front lobby, medical, education, transportation, cafeteria and yard are not routinely being filled;
- **Closed Housing Unit due to staffing levels.** The housing unit referred to as “Reynolds” is a 192-bed single level housing unit with a centrally located officer work station and two separate living areas, one of which is located on each side of the officer work station. The living area is an open bay design, similar to a dormitory and contains no cells. Facility management personnel reported the unit has never been used.

On the date of the site visit approximately 46% of the population was considered 1B (minimum) and considered appropriate for dormitory-style housing;

<sup>55</sup> SCDC Policy OP.22.24 Post Orders.

<sup>56</sup> SCDC Operations. Lockdown Statistics.

- **Triple celling.** All **general population** cells in operation except for the cells located in the housing unit referred to as “Phoenix” are calculated based on three inmates per room. On the date of the site visit there were 118 inmates being triple-celled in cells designed for double occupancy;
- **Overtime expenditures has increased over 180% in eleven months in part due to staff vacancies.** During the first eleven months of 2016, the facility overtime expenditures were reported as \$80,902 (rounded). During the same period in 2017 the facility expenditures were \$231,863. Front-line staffing levels reported for the facility reflect an average of 42.8 staff positions were filled in 2016 and 34.5 were filled in 2017;
- **Filling post assignments intermittently.** Existing operational practices frequently result in all posts not being filled and staff assigned to non-stationary posts, intermittently filling posts such as the yard, front lobby, tool room, and/or education occasionally during peak hours; and
- **Staff assigned to 8 or 12-hour shifts do not consistently receive meal breaks.** Most staff assigned to the shifts rarely receive a recognized break from their post assignment during the shift because of staffing levels. Federal (Fair Labor Standards Act) and state labor laws do not require the employer to provide a meal period or break to employees; however, SCDC policy does.

*SCDC Policy ADM-11.21 Regular Working Hours and Overtime cites in section 1.1 states: The official work schedule for security positions will be either 1.1.1 eight (8) hour shifts or 1.1.2 twelve (12) hour shifts on a 28-day cycle, including at least one 30-minute meal period each shift.*

## Roster Management

At Leath, roster management for security positions is performed primarily by the major in concert with the shift commanders. A master shift assignment roster for security personnel has been developed that identifies the personnel assigned to each shift, their position classification, leave status, specialty trained employees and new hires.

The shift assignment roster reflected staff were primarily assigned to one of five shifts. The (4) 12-hour shifts presented a relatively balanced division of staff in both numbers and position classification between the (4) 12-hour shifts. Approximately 14-15 staff were assigned to each 12-hour shift during the reporting period of which at least half were supervisors.

The 8-hour shift also reflected a mix of supervisory personnel and front-line staff. There were approximately (16) staff assigned to the C-Card, eight were supervisors, five were officers and three were non-certified new hires. Facility support areas such as Transportation; Contraband Control; Property Control; Grounds Maintenance; Key and Armory Control; Environmental Health and Safety and Litter Crew were normally filled by staff assigned to this shift.

The 8-hour shift makes up the largest single shift when compared with the (4) 12-hour shifts.

When additional staff are required on the 12-hour day shift staff assigned to the C-Card are often pulled from their post to assist.



Personnel assigned to the 8-hour shift normally work Monday through Friday from 8:00 am to 4:00 pm. Alternative starting and ending times may be used to best meet workload responsibilities.

Daily Shift Roster. In addition to the master shift assignment roster, daily shift rosters are also maintained for the shifts. The daily rosters identify in more detail the staff assigned by shift, their post assignment, staff on leave and responders. The daily shift rosters are designed to identify how scheduled personnel are utilized and provide a best practice tool for documenting staff accountability. The sample daily post assignment rosters revealed there is no recapitulation data provided or any consistent reference to staff scheduled as working overtime. This is critical when identifying how staff assigned to the shift are utilized, the staffing needs and what posts are being filled.

The *C-Card* maintains an automated daily shift roster that identifies the post number, code, post description, area, post type, responder, name of the employee, gender and if applicable leave status. Staff reported a manual daily shift assignment roster was not normally being completed for the *C-Card*. As a result, there is no reference to post classification levels or a recapitulation table for the *C-Card* shift. as a result, it is difficult to identify where and if all staff scheduled to the shift are assigned.

Post Classification. By memorandum from the *Division of Security*, post assignments should be classified as either, Pull Post Level I, Level II, or Level III (Mandatory) to assist shift supervisors when determining which posts can be temporarily collapsed or closed due to staff shortages, emergencies, overtime reduction efforts or other reasons deemed necessary by facility management. The classification of post assignments is designed to ensure certain post are shut down first.

At Leath, the facility shift assignment roster and daily rosters do not identify posts by category or classification; however, there was no evidence to indicate staff were being utilized in trivial or non-essential post assignments.

The operating practice at Leath reflected that when there were supervisory personnel present they were performing both supervisory functions as well as traditional front-line responsibilities. When supervisory staff were not present front-line staff were responsible for their post as well as an additional front-line post.

At Leath the basic elements of a roster management system including the identification of appropriate post assignments, recommended staffing levels, shift scheduling and daily shift roster development are all in place. There simply is not enough staff to fill all the recommended post assignments.

The primary concerns with the system include the following:

- The post chart needs to be updated to reflect current workload responsibilities. As an example, there are four front-line staff recommended on a 24/7 basis to be assigned to the housing units and one post for the restricted housing wing. LCI currently operates five housing units, one of which contains a restricted housing wing and one which has a capacity of 248 housing primarily inmates assigned to a mental health caseload. To staff the five operating housing units, including the restricted housing unit wing more than five total FLS posts are required; and
- Daily shift rosters need to be updated to reflect how all staff assigned to the shift are utilized. The daily roster should identify the names of all staff assigned to the shift, the approved post assignments, the post classification, post closures and the employee assigned to each post.

Staff assigned to posts for less than a full shift, detailed to a special assignment, working overtime or using benefit time should be clearly identified on the daily roster. Monthly in-house reviews should be completed to determine the effectiveness of the system and to confirm or re-establish minimum staffing levels.

## Staffing

The most significant concerns expressed by facility personnel during the on-site review involved the impact available staffing levels were having on the operations of the facility. This included both supervisory and front-line positions. In view of the limited number of front-line personnel, supervisory personnel were being required to fill front-line post assignments and not able to focus strictly on supervisory responsibilities.

## Post Assignment Enhancements

The following workload responsibilities are key to the operations of the facility and were not consistently being filled.

**Medical Unit.** The current operating practice is to normally not have security personnel present in the Medical Unit. On the day of the site visit the head nurse provided access to the unit. Medical staff verbally expressed concern with the lack of presence of security personnel. Daily medical services begin at 3:45 am and continue throughout the day. Pill lines, Insulin, Sick Call, Clinics, Dentist, Doctor appointments, Exams and Consultation all occur in the Medical Unit. Approximately 15% of the inmate population is considered maximum custody and approximately 54% of the population are on a mental health caseload. Security personnel should be physically present and/or in the immediate area when inmates are in direct contact with civilian and contract personnel. A five-day medical unit post assignment is being recommended;

**Courtyard Security.** LCI is a campus-style facility with five operating housing units, programs and service areas surrounding a large courtyard. To get from the housing units to most program activities and services inmates are required to walk through the courtyard. At LCI the courtyard is also used as a recreational yard resulting in frequent inmate activity;

The layout of the courtyard includes expansive open space, limited internal fencing and numerous blind spots. It is essential that security staff be present to monitor, control movement and conduct security inspections throughout the courtyard. Dedicated security personnel are recommended to be assigned to maintain a visual security presence in high traffic areas including the courtyard and to serve as first responders;

**Education Building.** Vocational education begins at 8:00 am and academic education begins in the education building at 9:00 am. No security personnel are normally present in the building. Taking into consideration vocational classrooms, law library, general library and academic programs are all offered in the building dedicated security personnel are recommended when staff and inmates are present;

**Front Lobby.** The front lobby is the primary location where all approved foot traffic enters the facility. Individuals entering the lobby have been approved to proceed through the front gate and are subject to search. The lobby area is where the initial search is conducted.

On the date of the on-site visit the shift commander was assigned to the front lobby as no other staff were available. Having no staff appeared to be a pattern. During peak traffic hours designated staff should be assigned to the front lobby;

**Cafeteria.** The cafeteria is in one of the surrounding buildings that is part of the facility courtyard. Besides meal services it is one of the primary locations outside of a housing unit where many inmates congregate. There is no dedicated security post assignment. Security coverage is provided intermittently, while inmate labor crews are assigned to assist in clean-up food preparation and as servers. On the date of the on-site visit the shift commander was the only security staff member assigned to the cafeteria;

**Reynolds Unit.** Eliminate the concept of triple celling at the facility. All general population cells except for the cells located in the housing unit referred to as “Phoenix” are calculated based on three inmates per room. On the date of the site visit there were 118 inmates being triple-celled. The housing unit referred to as “Reynolds” is a secure 192-bed medium custody single level housing unit providing two open bay wings separated by a centrally located officer work station. The living areas are similar in design to dormitory style housing and contains no cells. When sufficient personnel become available, the Reynolds Unit should be considered for inmate housing if population levels warrant the same;

**Post Relief.** In view of the available staffing levels at Leath, staff assigned to the 12-hour shifts do not normally receive a rest or meal break during their shift. There is usually no staff available to provide such relief. State and federal regulations do not mandate employers to provide breaks; however, SCDC policy<sup>57</sup> does. Under the current circumstances and based on existing staffing practices most front-line staff are not only filling one post assignment they are routinely filling two. The value and benefits of providing short breaks to staff filling 12-hour posts should be considered. Establishing “Security/Relief” posts that provide temporary relief to staff assigned to a 12-hour post should be seriously considered; and

**Shift Relief.** A shift relief factor is not reflected in current staffing levels. Security staff time-off is generally covered through assigning overtime, closing posts, or redeploying staff from other areas. The recommended staffing level includes the use of a shift relief factor for most post assignments.

#### **Shift Relief Factor (SRF)**

An updated shift relief factor has been developed for Leath based on data provided by personnel assigned to the Research and Information Management Division (RIM).

The shift relief factor (SRF) represents the number of staff required to fill a post assignment throughout the year based on the post hour requirements divided by the number of hours that the average employee assigned to the post is available.

Staff attendance, off-post hours and leave-time results are inputted into a department recognized electronic data base and transferred into an automated system that can identify the shift relief factor. The SRF electronic workbooks have been set up to allow the user to specify the institution and hours per shift which will automatically recalculate the SRF accordingly.

The SRF calculation for this project is based on the following:

<sup>57</sup> SCDC Policy ADM 11-21 Regular Working Hours and Overtime.

- All security staff (cadets – major) who were assigned to the institution during the entire year;
- A blended work schedule, including the use of both an eight-hour administrative shift (160 hours) and the straight 12's (168 hours) schedule;
- An average of the three most recent completed years that was available at the time the report was being initially prepared. This included 2015, 2016 and 2017. The purpose of evaluating data from the past three years instead of one year minimizes the chances the SRF will be influenced by one or more unusual factors or outliers.

At Leath, the use of sick-time has increased over the past three years. In 2017, an average of (108.5) hours of sick-time was used by each full-term security employee, compared to (95.4) hours in 2016 and (84.5) hours in 2015. Annual-leave time has been stable over the three-year period;

- The SRF is reflective of the facility being fully staffed; and
- Most posts recommended are considered relief posts. Refer to Appendix A for the detailed formula used to determine shift relief factors and the post chart appendix to identify specific post assignments being recommended.

<b>Leath Correctional Institution Shift Relief Factors - 2018</b>			
<b>Average 2015, 2016, 2017</b>	<b>8 Hour Shift 5-days</b>	<b>8 Hour Shift 24/7-Days (160 hrs.)</b>	<b>Straight 12-Hour Shift 24/7 days (168 hrs.)</b>
<b>Institution</b>			
<b>Leath CI</b>	<b>1.32</b>	<b>5.56</b>	<b>5.12</b>

A shift relief factor of 5.12 can be translated to mean that for one year, an average of slightly higher than five (5.12) FTE staff will be required to fill one 24-hour post assignment when applying the straight 12-hour shift schedule. A five-day shift relief factor for one 8-hour post assignment requires an average of 1.32 staff to fill on an annual basis.

### **Staffing Level Recommendations**

A recommended post chart has been developed to identify the number of security staff recommended to meet the current mission of the Leath Correctional Institution when fully operational. As the mission changes the staff requirement may also change.

The staffing recommendation is based on applying the following:

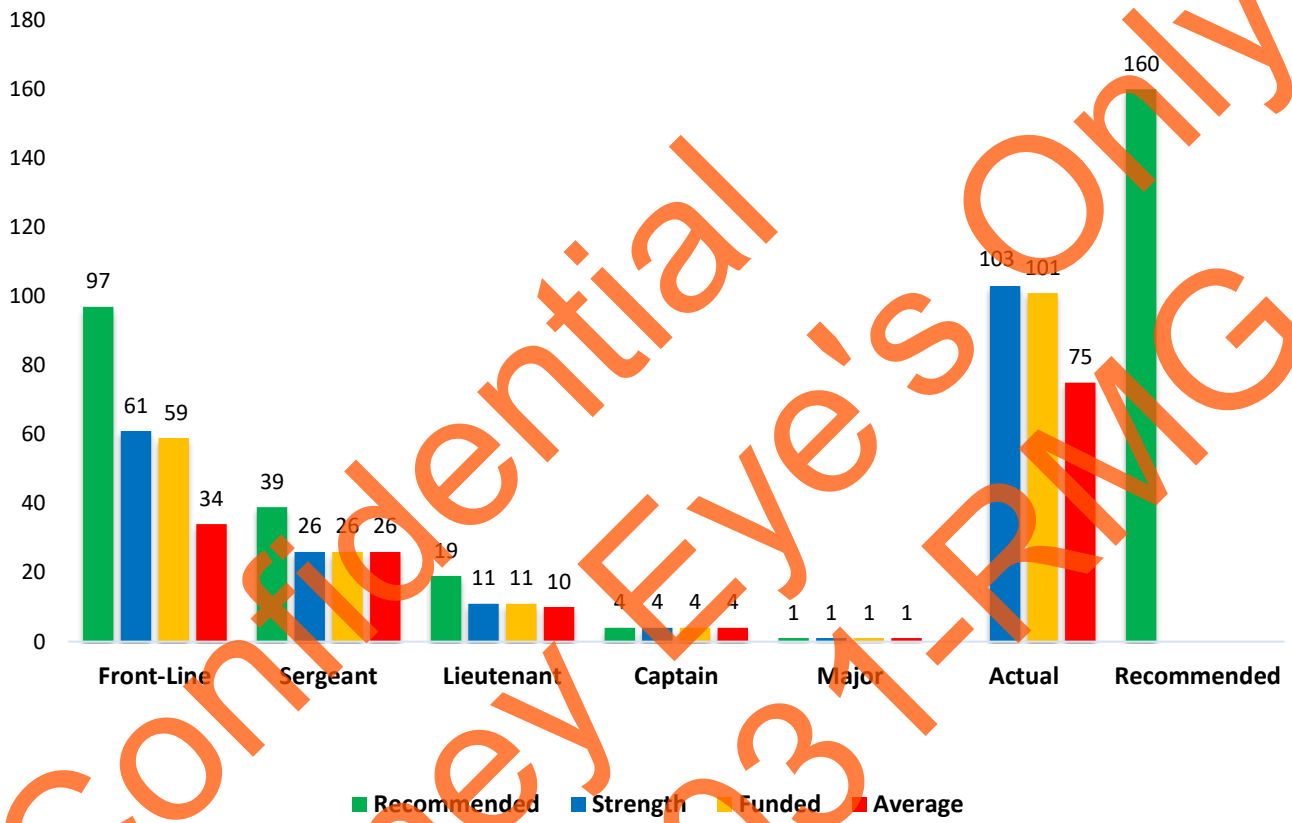
- A blended work schedule consisting of a 12-hour work schedule (168 hours) and an 8-hour (160 hours) administrative schedule;
- A 28-day pay cycle applying Section 7(k) of the Fair Labor Standards Act (FLSA) to determine the overtime threshold;

- A shift relief factor based on the most recent available three-year average leave-time and reported authorized time unavailable to fill a post, i.e. staff training, meal break;
- The facility fully operational including staffing all existing housing, program and service areas;
- The facility continuing to operate under the established policies and mission at the time of the review; and
- Taking into consideration security staffing related requirements as stipulated by national recommended standards, court orders, settlement agreements, state and federal laws.

<b>Leath Correctional Institution Security Staffing Recommendations</b>	
<i>Position Classification</i>	<i>FTE</i>
Major	1
Captains	4
Lieutenants	19
Sergeants	39
Front-Line Staff	97
<b>Total</b>	<b>160</b>

The recommended security staffing level for the Leath Correctional Institution is 160. The facility had been operating at 46.9% of the recommended level during the above reporting period. A detailed listing of recommended post assignments can be found in the appendix.

**Leath River Correctional Institution  
July 2017 - December 2017  
Average Staff by Position Classification  
Recommended Levels**





# APPENDIX

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17-cv-3031-RMG

## APPENDIX A

## SHIFT RELIEF FACTOR CALCULATION FORMULA

	SCDC SHIFT RELIEF FACTOR CALCULATION	SAMPLE
A.	Agency Closings	0
B.	Agency Work Days (# of days in a year))	365
	Days Contracted to Work (160 hrs. per 28-day cycle) # of Cycles per Year x Days to Work per Cycle	260.71
C.	Regular Days Off (Days in Year - Days Contracted to Work)	104.29
D.	Vacation Days (Average Annual Leave hours taken per employee / # of hours in shift)	10.8
E.	State Holidays (13 Days)	13
F.	Sick Leave (Average Sick Leave hours taken per employee / # of hours in shift)	8.4
G.	Other Days Off (injury, military, funeral, unexcused, disciplinary, special assignments, etc.) (Average "Other" Leave hours taken per employee / # of hours in shift.)	2.25
H.	Training Days (Average Training hours per employee / # of hours in shift.)	5.8
I.	Total Days Off (C+D+E+F+G+H)	144.54
J.	Actual Work Days (B-I)	220.46
K.	Meal Time Allowance (J x .0625)	13.78
L.	Actual Work Days (Including Meal Allowance) (J - K)	206.68
M.	<b>Number of Employees for one 8-hour shift, 7 days per week (B/L)</b>	<b>1.77</b>
M.1.	Number of employees for 24-hour coverage	
	7-day posts	5.3
	5-day posts	3.78
	2-day posts	1.51
M.2.	Number of employees for 12-hour coverage	
	7-day posts	
	5-day posts	
	2-day posts	
M.3.	Number of employees for 8-hour coverage	
	7-day posts	1.77
	5-day posts	1.26
	2-day posts	0.5
	<b>Option: Staffing Enhancement after Turn-Over</b>	
N.	Staffing Enhancement to Accommodate Turnover	10.70%
O.	Additional Employees needed to cover (1) 8-hour shift (M x N)	0.19
P.	Number of Employees for (1) shift, 7 days per week (M + O)	1.95

## APPENDIX B

### WORK SCHEDULE COMPARISONS – 8-HOURS VS. 12-HOURS

SCDC - Ridgeland Correctional Institution - Security Staff Recommendation																
12 Hr. Shift (168 hrs.)									Straight 8's - 3 Shifts (160 hrs.)							
Post		Shift			Frequency				Shift				Frequency			
#	Title	D-12	N-12	M-F	Hours	Days	Relief	Total	D	A	N	M-F	Hours	Days	Relief	Total
Command Staff																
1	Major	0	0	1	8	5	1	1	0	0	0	1	8	5	1	1
2	Administrative Captain	0	0	1	8	5	1	1	0	0	0	1	8	5	1	1
3	Shift Captain	1	1	0	12	7	2	4	1	1	1	0	8	5	1	3
4	Shift Lieutenant	1	1	0	12	7	2.53	5.06	1	1	1	0	8	7	1.83	5.49
5	Yard Lieutenant	1	1	0	12	7	2.53	5.06	1	1	1	0	8	7	1.83	5.49
6	RHU Lieutenant	0	0	1	8	5	1.31	1.31	0	0	0	1	8	5	1.31	1.31
7	Housing Zone Lieutenant	4	2	0	12	7	2.53	15.18	4	3	2	0	8	7	1.83	16.47
8	EHSO Lieutenant	0	0	1	8	5	1	1	0	0	0	1	8	5	1	1
9	Security/Contraband Lt.	0	0	1	8	5	1	1	0	0	0	1	8	5	1	1
10	Transportation Lieutenant	0	0	1	8	5	1	1	0	0	0	1	8	5	1	1
11	Training Lieutenant	0	0	1	8	5	1	1	0	0	0	1	8	5	1	1
12	Compliance Lieutenant	0	0	1	8	5	1	1	0	0	0	1	8	5	1	1
	Sub-total	7	5	8	NA	NA	NA	37.61	7	6	5	8	NA	NA	NA	38.76
Sergeants																
13	Shift Sergeant	1	1	0	12	7	2.53	5.06	1	1	1	0	8	7	1.83	5.49
14	Housing Sergeant	4	4	0	12	7	2.53	20.24	4	4	4	0	8	7	1.83	21.96
15	Transportation Sergeant	0	0	1	8	5	1	1	0	0	0	1	8	5	1	1
16	Front-End Sergeant	1	0	0	12	7	2.53	2.53	1	0	0	0	8	7	1.83	1.83
17	Contraband Sergeant	0	0	1	8	5	1	1	0	0	0	1	8	5	1	1
18	RHU Sergeant	1	1	0	12	7	2.53	5.06	1	1	1	0	8	7	1.83	5.49
19	Yard Sergeant	1	1	0	12	7	2.53	5.06	1	1	1	0	8	7	1.83	5.49
20	Outside Details	0	0	1	8	5	1	1	0	0	0	1	8	5	1	1
21	Armory/Key Control	0	0	1	8	5	1	1	0	0	0	1	8	5	1	1
22	Training Sergeant	0	0	1	8	5	1	1	0	0	0	1	8	5	1	1
	Sub-total	8	7	5	NA	NA	NA	42.95	8	7	7	5	NA	NA	NA	45.26
Front-Line																
Core Posts																
23	Outer Perimeter Patrol	1	1	0	12	7	2.53	5.06	1	1	1	0	8	7	1.83	5.49
24	Main Control	1	1	0	12	7	2.53	5.06	1	1	1	0	8	7	1.83	5.49
25	Front Lobby/Main Control	0	0	1	8	7	1.83	1.83	1	0	0	0	8	7	1.83	1.83
26	Yard	1	1	0	12	7	2.53	5.06	1	1	1	0	8	7	1.83	5.49
27	Vehicle Gate	1	1	0	12	7	2.53	5.06	1	1	1	0	8	7	1.83	5.49
28	Cafeteria	1	0	0	12	7	2.53	2.53	1	1	0	0	8	7	1.83	3.66
29	RHU Control	1	1	0	12	7	2.53	5.06	1	1	1	0	8	7	1.83	5.49
30	RHU Wing	3	2	0	12	7	2.53	12.65	3	2	2	0	8	7	1.83	12.81
31	RHU Recreation	0	0	2	8	5	1.31	2.62	0	0	0	2	8	5	1.31	2.62
32	Housing Unit 1	3	2	0	12	7	2.53	12.65	3	2	2	0	8	7	1.83	12.81
33	Housing Unit 2	3	2	0	12	7	2.53	12.65	3	2	2	0	8	7	1.83	12.81
34	Housing Unit 3	3	2	0	12	7	2.53	12.65	3	2	2	0	8	7	1.83	12.81
35	Housing Unit 4	3	2	0	12	7	2.53	12.65	3	2	2	0	8	7	1.83	12.81
36	Inmate Medical Escort	0	0	1	8	5	1.31	1.31	0	0	0	1	8	5	1.31	1.31
37	Medical	0	0	1	8	5	1.31	1.31	0	0	0	1	8	5	1.31	1.31
38	Visitation	0	0	3	8	5	0.655	1.965	0	0	0	3	8	2.5	0.655	1.875
39	Transportation	0	0	8	8	5	1.31	10.48	0	0	0	8	8	5	1.31	10.48
	Sub-total	21	15	16	NA	NA	NA	110.60	22	16	15	15	NA	NA	NA	114.59
Operations																
40	Outer Perimeter Patrol	0	1	0	12	7	2.53	2.53	0	1	1	0	8	7	1.83	3.66
41	Property Control	0	0	1	8	5	1.31	1.31	0	0	0	1	8	5	1.31	1.31
42	Contraband/Intelligence	0	0	3	8	5	1	3	0	0	0	3	8	5	1	3
43	Education	0	0	1	8	5	1.31	1.31	0	0	0	1	8	5	1.31	1.31
44	Escort (staggered start)	0	0	2	8	7	1.83	3.66	1	1	0	0	8	7	1.83	3.66
45	Security Relief	2	1	0	12	7	2	6	3	2	2	0	8	7	1	9.8
46	Grounds	0	0	1	8	5	1	1	0	0	0	1	8	5	1	1
47	Maintenance/Tool Room	0	0	1	8	5	1.31	1.31	0	0	0	1	8	5	1.31	1.31
48	Recreation	0	0	1	8	5	1.31	1.31	0	0	0	1	8	5	1.31	1.31
49	Prison Industries	0	0	2	8	5	1	2	0	0	0	2	8	5	1	2
	Sub-total	2	2	12	NA	NA	NA	23.43	4	4	3	10	NA	NA	NA	28.36
	Overall Total Posts	38	29	41				108	40	33	30	39				142
	Total Staff Required							215								226.97

SCDC - Evans Correctional Institution - Security Staff Recommendation								
Post	EVANS CI	Shift			Frequency			
#	Title	12-D	12-N	M-F/O	Hours	Days	Relief	Total
Command Staff								
1	Major	0	0	1	8	5	1	1
2	Administrative Captain	0	0	1	8	5	1	1
3	Shift Captain	1	1	0	12	7	2	4
4	Shift Lieutenant	1	1	0	12	7	2.46	4.92
5	Yard Lieutenant	1	1	0	12	7	2.46	4.92
6	RHU Lieutenant	1	0	0	12	7	2.46	2.43
7	Housing Zone Lieutenant	5	2	0	12	7	2.46	17.22
8	Security/Contraband Lt.	0	0	1	8	5	1	1
9	EHSO Lieutenant	0	0	1	8	5	1	1
10	Transportation Lieutenant	0	0	1	8	5	1	1
11	Training Lieutenant	0	0	1	8	5	1	1
12	Compliance Lieutenant	0	0	1	8	5	1	1
	<b>Sub-total</b>	<b>9</b>	<b>5</b>	<b>7</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>40.49</b>
Sergeants								
13	Shift Sergeant	1	1	0	12	7	2.46	4.92
14	GP Housing Sergeant	5	5	0	12	7	2.46	24.6
15	Front-End Sergeant	1	0	0	12	7	2.46	2.46
16	RHU Sergeant	1	1	0	12	7	2.46	4.92
17	Yard Sergeant	1	1	0	12	7	2.46	4.92
18	Contraband Sergeant	0	0	1	8	5	1	1
19	Transportation Sergeant	0	0	1	8	5	1	1
20	Armory/Key Control	0	0	1	8	5	1	1
21	Training Sergeant	0	0	1	8	5	1	1
	<b>Sub-total</b>	<b>9</b>	<b>8</b>	<b>4</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>45.82</b>
Front-Line								
Core Posts								
22	Outer Perimeter Patrol	1	1	0	12	7	2.46	4.92
23	Main Control	1	1	0	12	7	2.46	4.92
24	Front Gate	1	1	0	12	7	2.46	4.92
25	Yard	1	1	0	12	7	2.46	4.92
26	RHU Control	1	1	0	12	7	2.46	4.92
27	RHU Wing	4	2	0	12	7	2.46	14.76
28	Access Gate	1	0	0	12	7	2.46	2.46
29	Housing Units (5 Units)	16	11	0	12	7	2.46	66.42
30	Infirmmary	1	1	0	12	7	2.46	4.92
31	RHU Recreation	0	0	2	8	5	1.27	2.54
32	RHU Escort	0	0	2	8	5	1.27	2.54
33	Vehicle Gate	1	0	0	12	7	2.46	2.46
34	Inmate Medical Escort	0	0	1	8	5	1.27	1.27
35	Medical	1	0	0	12	7	2.46	2.46
36	Transportation/Hospital	0	0	10	8	5	1.27	12.7
37	Visitation	0	0	3	8	2.5	0.635	1.905
38	Cafeteria	2	0	0	12	7	2.46	4.92
39	Front Gate Shakedown	1	0	0	12	7	2.46	2.46
	<b>Sub-total</b>	<b>32</b>	<b>19</b>	<b>18</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>146.42</b>
Operations								
40	Property Control	0	0	1	8	5	1	1
41	Contraband/Intelligence	0	0	3	8	5	1	3
42	Kitchen/Dock ( <i>staggered</i> )	0	0	2	8	5	1.27	2.54
43	Back Gate	1	1	0	12	7	2.46	4.92
44	Maintenance/Tools	0	0	1	8	5	1.27	1.27
45	Education	0	0	1	8	5	1.27	1.27
46	Security Relief	3	2	0	12	7	2	10
47	Inmate Escort	0	0	1	8	5	1.27	1.27
48	DHO Recorder	0	0	1	8	5	1	1
49	Grounds	0	0	1	8	5	1	1
50	Prison Industries	0	0	1	10	4	1	1
	<b>Sub-total</b>	<b>4</b>	<b>3</b>	<b>12</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>28.27</b>
	<b>Overall Total Posts</b>	<b>54</b>	<b>35</b>	<b>41</b>				<b>130</b>
	<b>Total Staff Required</b>							<b>261</b>

Post	SRF	#
12 hr. 24/7 relief	4.92	64
12 hr. 24/7 no relief	2	6
12-hr. 7-day relief	2.46	18
12-hr. 7-day no relief	2	1
10-hr. 4-day no relief	1	1
8-hr. 5-day relief	1.27	20
8-hr. 2.5-day relief	0.64	3
8 hr. 5-day no relief	1	17
<b>Total</b>		<b>130</b>

Position	#
Major	1
Captain	5
Lieutenant	34
Sergeant	46
Front-Line	175
<b>Total</b>	<b>261</b>

## APPENDIX C

CAMILLE GRAHAM CORRECTIONAL INSTITUTION - RECOMMENDATION								
Post	CAMILLE GRAHAM CI	Shift			Frequency			
#	Title	12-D	12-N	M-F/O	Hours	Days	Relief	Total
Command Staff								
1	Major	0	0	1	8	5	1	1
2	Administrative Captain	0	0	1	8	5	1	1
3	Shift Captain	1	1	0	12	7	2	4
4	Shift Lieutenant	1	1	0	12	7	2.515	5.03
5	Yard Lieutenant/Responder	1	1	0	12	7	2.515	5.03
6	Housing Lieutenant	1	1	0	12	7	2.515	5.03
7	RHU/R & E Lieutenant	0	0	1	8	5	1.3	1.3
8	Blue Ridge (CSU/ICS) Lt.	0	0	1	8	5	1	1
9	YOIS/Shock Lieutenant	0	0	1	8	5	1	1
10	EHSO Lieutenant	0	0	1	8	5	1	1
11	Compliance Lieutenant	0	0	1	8	5	1	1
12	Training Lieutenant	0	0	1	8	5	1	1
	<b>Sub-total</b>	<b>4</b>	<b>4</b>	<b>8</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>27.39</b>
Sergeants								
13	Shift Sergeant	2	1	0	12	7	2.515	7.545
14	Yard Sergeant/Responder	1	0	0	12	7	2.515	2.64
15	R & E Sergeant/Processing	1	0	0	12	7	2.515	2.64
16	Front-End Sergeant	1	0	0	12	7	2.515	2.515
17	Housing Sergeant	2	2	0	12	7	2.515	10.06
18	RHU Sergeant	1	0	0	12	7	2.515	2.515
19	R & E/RHU Sergeant	0	1	0	12	7	2.515	2.64
20	Blue Ridge (CSU/ICS)Sgt.	1	1	0	12	7	2.515	5.03
21	YOIS/Shock Sergeant	1	1	0	12	7	2.515	5.03
22	Transportation Sergeant	0	0	1	8	5	1	1
23	Vehicle Gate/Property	0	0	1	8	5	1.3	1.3
24	Armory/Key Control	0	0	1	8	5	1	1
25	Training Sergeant	0	0	1	8	5	1	1
26	Contraband Sergeant	0	0	1	8	5	1	1
	<b>Sub-total</b>	<b>10</b>	<b>6</b>	<b>5</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>45.915</b>
Front-Line								
Core Posts								
27	Outer Perimeter Patrol	1	1	0	12	7	2.515	5.03
28	Main Control	1	1	0	12	7	2.515	5.03
29	Yard/Commissary/Responder	1	1	0	12	7	2.515	5.03
30	RHU Control	1	1	0	12	7	2.515	5.03
31	RHU Wing	2	2	0	12	7	2.515	10.06
32	GP Housing Unit (3 units)	7	6	0	12	7	2.515	32.695
33	Outside Hospital	5	5	0	12	7	2.515	25.15
34	R & E Wing	2	2	0	12	7	2.515	10.06
35	Blue Ridge Housing -CSU/ICS	3	2	0	12	7	2.515	12.575
36	YOIS/Shock Housing	3	2	0	12	7	2.515	12.575
37	Cafeteria	1	0	0	12	7	2.515	2.515
38	Back Door	1	0	0	12	7	2.515	2.515
39	Special Needs Escort	1	0	0	12	7	2.515	2.515
40	Vehicle Gate	1	0	0	12	7	2.515	2.515
41	R & E Escort	0	0	1	8	5	1.3	1.3
42	Medical	1	0	0	12	7	2.515	2.515
43	Transportation	0	0	6	8	5	1.3	7.8
44	Visitation	0	0	2	8	2.5	0.65	1.3
45	RHU Recreation	0	0	1	8	5	1.3	1.3
46	RHU Escort	0	0	1	8	5	1.3	1.3
47	Front Lobby/Shakedown	1	0	0	12	7	2.515	2.515
48	Inmate Medical Escort	0	0	1	8	5	1.3	1.3
	<b>Sub-total</b>	<b>32</b>	<b>23</b>	<b>12</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>152.63</b>
Operations								
49	Security Relief	2	2	0	12	7	2	8
50	Grounds	0	0	1	8	5	1	1
51	Maintenance/Tool Room	0	0	1	8	5	1.3	1.3
52	Education	0	0	1	8	5	1.3	1.3
53	Contraband/Intelligence	0	0	2	8	5	1	2
	<b>Sub-total</b>	<b>2</b>	<b>2</b>	<b>5</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>13.6</b>
	<b>Overall Total Posts</b>	<b>48</b>	<b>35</b>	<b>30</b>				<b>113</b>
	<b>Total Staff Required</b>							<b>239.53</b>

Post	SRF	#
12 HR. 24/7 R	5.03	62
12 hr. 24/7 NR	2	6
12-hr. 7 day R	2.515	15
8-HR. 5 day R	1.3	14
8-HR. 5 day NR	1	14
8-hr. 2.5 day R	0.65	2
<b>Total Posts</b>		<b>113</b>

Positions	#
Major	1
Captain	5
Lieutenant	21
Sergeant	46
Front-Line	166
<b>Total Staff</b>	<b>239</b>

SCDC - McCormick Correctional Institution - Security Staff Recommendation								
Post	McCormick CI	Shift			Frequency			
#	Title	12-D	12-N	M-F/O	Hours	Days	Relief	Total
Command Staff								
1	Major	0	0	1	8	5	1	1
2	Administrative Captain	0	0	1	8	5	1	1
3	Shift Captain	1	1	0	12	7	2	4
4	Security Captain	0	0	1	8	5	1	1
5	Shift Lieutenant	1	1	0	12	7	2.605	5.21
6	Yard Lieutenant	2	1	0	12	7	2.605	7.815
7	RHU Lieutenant	1	1	0	12	7	2.605	5.21
8	Housing Zone Lieutenant	4	2	0	12	7	2.605	15.63
9	EHSO Lieutenant	0	0	1	8	5	1	1
10	Contraband Lieutenant	0	0	1	8	5	1	1
11	Transportation Lieutenant	0	0	1	8	5	1	1
12	Training Lieutenant	0	0	1	8	5	1	1
13	Compliance Lieutenant	0	0	1	8	5	1	1
	<b>Sub-total</b>	<b>9</b>	<b>6</b>	<b>8</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>45.865</b>
Sergeants								
14	Shift Sergeant	1	1	0	12	7	2.605	5.21
15	Housing Sergeant	4	4	0	12	7	2.605	20.84
16	Front-End Sergeant	1	1	0	12	7	2.605	5.21
17	RHU Sergeant	1	1	0	12	7	2.605	5.21
18	Yard Sergeant	2	2	0	12	7	2.605	10.42
19	Front Gate	1	0	0	12	7	2.605	2.605
20	Armory/Key Control	0	0	1	8	5	1	1
21	Contraband Sergeant	0	0	1	8	5	1	1
22	Transportation Sergeant	0	0	1	8	5	1	1
23	Training Sergeant	0	0	1	8	5	1	1
	<b>Sub-total</b>	<b>10</b>	<b>9</b>	<b>4</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>53.495</b>
Front-Line								
Core Posts								
24	Outer Perimeter Patrol	1	2	0	8	7	2.605	7.815
25	Main Control	2	1	0	12	7	2.605	7.815
26	Yard	1	1	0	12	7	2.605	5.21
27	RHU Control	1	1	0	12	7	2.605	5.21
28	RHU Wing	4	2	0	12	7	2.605	15.63
29	RHU Recreation	0	0	2	8	5	1.35	2.7
30	Cafeteria	2	0	0	12	7	2.605	5.21
31	Vehicle Gate	1	0	0	12	7	2.605	2.605
32	Medical	1	0	0	12	7	2.605	2.605
33	Inmate Medical Escort	0	0	2	8	5	1.35	2.7
34	Front Gate	1	1	0	12	7	2.605	5.21
35	GP Housing Unit (4 Units)	16	12	0	12	7	2.605	72.94
36	ALU	1	1	0	12	7	2.605	5.21
37	Access Gate	1	0	0	12	7	2.605	2.605
38	Transportation	0	0	8	8	5	1.35	10.8
39	Visitation	0	0	3	8	2.5	0.675	2.025
	<b>Sub-total</b>	<b>32</b>	<b>21</b>	<b>15</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>156.29</b>
Operations								
40	Front Lobby/Gate	0	0	1	8	5	1.35	1.35
41	RHU Escort	0	0	2	8	5	1.35	2.7
42	Property Control	0	0	1	8	5	1.35	1.35
43	Contraband/Intelligence	0	0	4	8	5	1	4
44	Kitchen/Dock (staggered)	0	0	2	8	5	1.35	2.7
45	Prison Industries	0	0	1	8	5	1	1
46	Security Relief	3	2	0	12	7	2	10
47	Education	0	0	1	8	5	1.35	1.35
48	Inmate Escort	0	0	2	8	5	1.35	2.7
49	Grounds/Horticulture	0	0	2	8	5	1	2
50	Maintenance/Tools	0	0	1	8	5	1.35	1.35
	<b>Sub-total</b>	<b>3</b>	<b>2</b>	<b>17</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>30.5</b>
	<b>Overall Total Posts</b>	<b>54</b>	<b>38</b>	<b>44</b>				<b>136</b>
	<b>Total Staff Required</b>							<b>286.15</b>

Post	SRF	#
12 hr. 24/7 R	5.21	68
12 hr. 24/7 NR	2	4
12 hr. 7 day NR	2	3
12-hr. 7 day R	2.605	17
8-hr. 5 day R	1.35	22
8-hr. 5 day NR	1	19
8-hr. 2.5 day R	0.675	3
<b>Total Posts</b>		<b>136</b>

Positions	#
Major	1
Captain	6
Lieutenant	39
Sergeant	53
Front-Line	187
<b>Total Staff</b>	<b>286</b>



SCDC - Kershaw Correctional Institution - Security Staff Recommendation								
Post	KERSHAW CI	Shift			Frequency			
#	Title	12-D	12-N	M-F/O	Hours	Days	Relief	Total
<b>Command Staff</b>								
1	Major	0	0	1	8	5	1	1
2	Administrative Captain	0	0	1	8	5	1	1
3	Shift Captain	1	1	0	12	7	2	4
4	Shift Lieutenant	1	1	0	12	7	2.50	4.99
5	Yard Lieutenant	1	1	0	12	7	2.50	4.99
6	Housing Lieutenant	5	2	0	12	7	2.50	17.465
7	RHU Lieutenant	0	0	1	8	5	1.29	1.29
8	Security/Contraband Lt.	0	0	1	8	5	1	1
9	Compliance Lieutenant	0	0	1	8	5	1	1
10	EHSO Lieutenant	0	0	1	8	5	1	1
11	Training Lieutenant	0	0	1	8	5	1	1
	<b>Sub-total</b>	<b>8</b>	<b>5</b>	<b>7</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>38.735</b>
<b>Sergeants</b>								
12	Shift Sergeant	1	1	0	12	7	2.50	4.99
13	Housing Sergeant	5	5	0	12	7	2.50	24.95
14	Front-End Sergeant	1	0	0	12	7	2.50	2.495
15	RHU Sergeant	1	1	0	12	7	2.50	4.99
16	Yard Sergeant	2	2	0	12	7	2.50	9.98
17	Contraband Sergeant	0	0	1	8	5	1	1
18	Transportation Sergeant	0	0	1	8	5	1	1
19	Armory/Key Control	0	0	1	8	5	1	1
20	Training Sergeant	0	0	1	8	5	1	1
	<b>Sub-total</b>	<b>10</b>	<b>9</b>	<b>4</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>51.405</b>
<b>Front-Line</b>								
<b>Core Posts</b>								
21	Outer Perimeter Patrol	1	1	0	12	7	2.50	4.99
22	Main Control	1	1	0	12	7	2.50	4.99
23	Front Gate	1	1	0	12	7	2.50	4.99
24	Yard	2	2	0	12	7	2.50	9.98
25	Access Gate	1	1	0	12	7	2.50	4.99
26	RHU Control	1	1	0	12	7	2.50	4.99
27	RHU Wing	4	2	0	12	7	2.50	14.97
28	Housing Units 1-4	12	8	0	12	7	2.50	49.9
29	Hickory Control	1	1	0	12	7	2.50	4.99
30	Hickory Wing	3	2	0	12	7	2.50	12.475
31	Cafeteria	2	0	0	12	7	2.50	4.99
32	Transportation	0	0	10	8	5	1.29	12.9
33	Medical	0	0	1	8	5	1.29	1.29
34	Visitation	0	0	3	8	2.5	0.645	1.935
35	RHU Recreation	0	0	2	8	5	1.29	2.52
36	Inmate Medical Escort	0	0	1	8	5	1.29	1.26
	<b>Sub-total</b>	<b>29</b>	<b>20</b>	<b>17</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>142.16</b>
<b>Operations</b>								
37	Back Gate	1	1	0	12	7	2.50	4.99
38	Front Vehicle Gate	1	0	0	12	7	2.50	2.495
39	Kitchen/Dock (staggered)	0	0	2	8	5	1.29	2.58
40	Security Relief	2	2	0	12	7	2	8
41	Property Control	0	0	1	8	5	1.29	1.29
42	Contraband/Intelligence	0	0	3	8	5	1	3
43	Front Lobby	0	0	1	8	5	1.29	1.29
44	Education	0	0	2	8	5	1.29	2.58
45	Visitation	0	0	3	8	2.5	0.645	1.935
46	Grounds Maintenance	0	0	1	8	5	1	1
47	Tool Room/Maintenance	0	0	1	8	5	1	1
48	Prison Industries	0	0	1	10	4	1	1
	<b>Sub-total</b>	<b>4</b>	<b>3</b>	<b>15</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>31.16</b>
	<b>Overall Total Posts</b>	<b>51</b>	<b>37</b>	<b>43</b>				<b>131</b>
	<b>Total Staff Required</b>							<b>263.46</b>

Post	SRF	#
12-hr. 24/7 R	4.9	70
12-hr. 24/7 NR	2	6
12-hr. 7 day R	2.50	15
10-hr. 4 day NR	1	1
8-hr. 5 day R	1.29	21
8-hr. 5 day NR	1	15
8-hr. 2.5 day R	0.65	3
<b>Total Posts</b>		<b>131</b>

Positions	#
Major	1
Captain	5
Lieutenant	33
Sergeant	51
Front-Line	173
<b>Total</b>	<b>263</b>

SCDC - Ridgeland Correctional Institution - Security Staff Recommendation								
Post	Ridgeland CI	Shift			Frequency			
#	Title	12-D	12-N	M-F/O	Hours	Days	Relief	Total
Command Staff								
1	Major	0	0	1	8	5	1	1
2	Administrative Captain	0	0	1	8	5	1	1
3	Shift Captain	1	1	0	12	7	2	4
4	Shift Lieutenant	1	1	0	12	7	2.53	5.06
5	Yard Lieutenant	1	1	0	12	7	2.53	5.06
6	RHU Lieutenant	0	0	1	8	5	1.31	1.31
7	Housing Zone Lieutenant	4	2	0	12	7	2.53	15.18
8	EHSO Lieutenant	0	0	1	8	5	1	1
9	Security/Contraband Lt.	0	0	1	8	5	1	1
10	Transportation Lieutenant	0	0	1	8	5	1	1
11	Training Lieutenant	0	0	1	8	5	1	1
12	Compliance Lieutenant	0	0	1	8	5	1	1
	<b>Sub-total</b>	<b>7</b>	<b>5</b>	<b>8</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>37.6</b>
Sergeants								
13	Shift Sergeant	1	1	0	12	7	2.53	5.06
14	Housing Sergeant	4	4	0	12	7	2.53	20.24
15	Transportation Sergeant	0	0	1	8	5	1	1
16	Front-End Sergeant	1	0	0	12	7	2.53	2.53
17	Contraband Sergeant	0	0	1	8	5	1	1
18	RHU Sergeant	1	1	0	12	7	2.53	5.06
19	Yard Sergeant/Responder	1	1	0	12	7	2.53	5.06
20	Outside Details	0	0	1	8	5	1	1
21	Armory/Key Control	0	0	1	8	5	1	1
22	Training Sergeant	0	0	1	8	5	1	1
	<b>Sub-total</b>	<b>8</b>	<b>7</b>	<b>5</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>43.0</b>
Front-Line								
Core Posts								
23	Outer Perimeter Patrol	1	1	0	12	7	2.53	5.06
24	Main Control	1	1	0	12	7	2.53	5.06
25	Front Lobby/Main Control	0	0	1	8	7	1.83	1.76
26	Yard/Responder	1	1	0	12	7	2.53	5.06
27	Vehicle Gate	1	1	0	12	7	2.53	5.06
28	Cafeteria	1	0	0	12	7	2.53	2.53
29	RHU Control	1	1	0	12	7	2.53	5.06
30	RHU Wing	3	2	0	12	7	2.53	12.65
31	RHU Recreation	0	0	2	8	5	1.31	2.62
32	Housing Unit 1	3	2	0	12	7	2.53	12.65
33	Housing Unit 2	3	2	0	12	7	2.53	12.65
34	Housing Unit 3	3	2	0	12	7	2.53	12.65
35	Housing Unit 4	3	2	0	12	7	2.53	12.65
36	Inmate Medical Escort	0	0	1	8	5	1.31	1.31
37	Medical	0	0	1	8	5	1.31	1.31
38	Visitation	0	0	3	8	2.5	0.655	1.965
39	Transportation	0	0	8	8	5	1.31	10.48
	<b>Sub-total</b>	<b>21</b>	<b>15</b>	<b>16</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>110.5</b>
Operations								
40	Outer Perimeter Patrol	0	1	0	12	7	2.53	2.5
41	Property Control	0	0	1	8	5	1.31	1.31
42	Contraband/Intelligence	0	0	3	8	5	1	3
43	Education	0	0	1	8	5	1.31	1.31
44	Inmate Escort	0	0	2	8	7	1.83	3.66
45	Security Relief	2	1	0	12	7	2	6
46	Grounds	0	0	1	8	5	1	1
47	Maintenance/Tool Room	0	0	1	8	5	1.31	1.25
48	Recreation	0	0	1	8	5	1.31	1.25
49	Prison Industries	0	0	2	8	5	1	2
	<b>Sub-total</b>	<b>2</b>	<b>2</b>	<b>12</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>23.3</b>
	<b>Overall Total Posts</b>	<b>38</b>	<b>29</b>	<b>41</b>				<b>108</b>
	<b>Total Staff Required</b>							<b>214.4</b>

Post	SRF	#
12-hr. 24/7 R	5.06	54
12-hr. 24/7 NR	2	4
12-hr. 7 day R	2.53	10
12-hr. 7 day NR	2	1
8-hr. 7 day R	1.83	1
8-hr. 5-day NR	1	18
8-hr. 5 day R	1.31	17
8-hr. 2.5 day R	0.655	3
<b>Total Posts</b>		<b>108</b>

Position	#
Major	1
Captain	5
Lieutenant	32
Sergeant	43
Front-Line	134
<b>Total Staff</b>	<b>215</b>

SCDC - Turbeville Correctional Institution - Security Staff Recommendation								
Post	TURBEVILLE CI	Shift			Frequency			
#	Title	12 -D	12-N	M-F/O	Hours	Days	Relief	Total
Command Staff								
1	Major	0	0	1	8	5	1	1
2	Administrative Captain	0	0	1	8	5	1	1
3	Shift Captain	1	1	0	12	7	2	4
4	Shift Lieutenant	1	1	0	12	7	2.565	5.13
5	Yard Lieutenant	1	1	0	12	7	2.565	5.13
6	ST-RHU Lieutenant	0	0	1	8	5	1.31	1.31
7	Housing Zone Lieutenant	5	2	0	12	7	2.565	17.955
8	Security/Contraband Lt.	0	0	1	8	5	1	1
9	Transportation Lieutenant	0	0	1	8	5	1	1
10	EHSO Lieutenant	0	0	1	8	5	1	1
11	Shock/YOIS Lieutenant	0	0	1	8	5	1	1
12	Training Lieutenant	0	0	1	8	5	1	1
13	Compliance Lieutenant	0	0	1	8	5	1	1
	<b>Sub-total</b>	<b>8</b>	<b>5</b>	<b>9</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>41.525</b>
Sergeants								
14	Shift Sergeant	1	1	0	12	7	2.565	5.13
15	Housing Sergeant	5	5	0	12	7	2.565	25.65
16	Transportation Sergeant	0	0	1	8	5	1	1
17	Front-End Sergeant	1	0	0	12	7	2.565	2.565
18	Contraband Sergeant	0	0	1	8	5	1	1
19	ST-RHU Sergeant	1	1	0	12	7	2.565	5.13
20	Yard Sergeant	1	1	0	12	7	2.565	5.13
21	Shock/YOIS Sergeant	1	1	0	12	7	2.565	5.13
22	Armory/Key Control	0	0	1	8	5	1	1
23	Training Sergeant	0	0	1	8	5	1	1
	<b>Sub-total</b>	<b>10</b>	<b>9</b>	<b>4</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>52.735</b>
Front-Line								
Core Posts								
24	Outer Perimeter Patrol	1	1	0	12	7	2.565	5.13
25	RHU Control	1	1	0	12	7	2.565	5.06
26	Santee Control	1	1	0	12	7	2.565	5.06
27	Rimini Control	1	1	0	12	7	2.565	5.13
28	Main Control	1	1	0	12	7	2.565	5.13
29	Yard Officer	1	1	0	12	7	2.565	5.13
30	Infirmery	1	1	0	12	7	2.565	5.13
31	Housing Unit Floor: E,T,S,W	12	8	0	12	7	2.565	51.3
32	Rimini Wing Officer	3	2	0	12	7	2.565	12.825
33	Santee Wing Officer	4	3	0	12	7	2.565	17.955
34	Shock Wing Officers	2	2	0	12	7	2.565	10.72
35	ST - RHU Wing	3	2	0	12	7	2.565	12.825
36	YOIS Escort	1	1	0	12	7	2.565	5.13
37	Shock Escort	1	0	0	12	7	2.565	2.68
38	Front Lobby/Main Control	1	0	0	12	7	2.565	2.565
39	Vehicle Gate	1	0	0	12	7	2.565	2.565
40	Medical	1	0	0	12	7	2.565	2.565
41	Cafeteria	2	0	0	12	7	2.565	5.13
42	Transportation	0	0	8	8	5	1.33	10.64
43	Visitation	0	0	3	8	2.5	0.665	1.995
44	Inmate Medical Escort	0	0	1	8	5	1.33	1.33
45	Education	0	0	1	8	5	1.33	1.33
46	Education II	0	0	1	8	5	1.33	1.33
47	ST - RHU Recreation/Escort	0	0	2	8	5	1.33	2.66
	<b>Sub-total</b>	<b>38</b>	<b>25</b>	<b>16</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>181.32</b>
Operations								
48	Security Relief	3	2	0	12	7	2	10
49	Property Control	0	0	1	8	5	1.33	1.31
50	Contraband/Intelligence	0	0	3	8	5	1	3
51	Inmate Escort	0	0	1	8	5	1.33	1.33
52	Horticulture/Grounds	0	0	1	8	5	1	1
	<b>Sub-total</b>	<b>3</b>	<b>2</b>	<b>6</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>16.64</b>
	<b>Overall Total</b>	<b>59</b>	<b>41</b>	<b>35</b>				<b>135</b>
	<b>Total Staff Required</b>							<b>292.22</b>

Post	SRF	#
12-hr. 24/7 R	5.13	76
12 hr. 24/7 NR	2	6
12 hr. 7-day R	2.565	17
12 hr. 7-day NR	2	1
8 hr. 5 day R	1.33	16
8 hr. 5-day NR	1	16
8 hr. 2.5-days R	0.665	3
<b>Total Posts</b>		<b>135</b>

Position	#
Major	1
Captain	5
Lieutenant	35
Sergeant	53
Front-Line	198
<b>Total</b>	<b>292</b>

SCDC - Tyger River Correctional Institution - Security Staff Recommendation								
Post	TYGER RIVER CI	Shift			Frequency			
#	Title	12-D	12-N	M-F/O	Hours	Days	Relief	Total
Command Staff								
1	Major	0	0	1	8	5	1	1
2	Administrative Captain	0	0	1	8	5	1	1
3	Shift Captain	1	1	0	12	7	2	4
4	Shift Lieutenant	1	1	0	12	7	2.47	4.94
5	Yard Lieutenant	1	1	0	12	7	2.47	4.94
6	Housing Lieutenant	4	2	0	12	7	2.47	14.82
7	EHSO Lieutenant	0	0	1	8	5	1	1
8	RHU Lieutenant	0	0	2	8	5	1.29	2.58
9	Security/Contraband Lt.	0	0	1	8	5	1	1
10	Transportation Lieutenant	0	0	1	8	5	1	1
11	Training Lieutenant	0	0	1	8	5	1	1
12	Compliance Lieutenant	0	0	1	8	5	1	1
	<b>Sub-total</b>	<b>7</b>	<b>5</b>	<b>9</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>38.28</b>
Sergeants								
13	Shift Sergeant	1	1	0	12	7	2.47	4.94
14	Housing Sergeant	11	6	0	12	7	2.47	41.99
15	Transportation Sergeant	0	0	1	8	5	1	1
16	Front-End Sergeant	1	0	0	12	7	2.47	2.47
17	Contraband Sergeant	0	0	1	8	5	1	1
18	RHU Sergeant	2	2	0	12	7	2.47	9.88
19	Yard Sergeant	2	2	0	12	7	2.47	9.88
20	DHO	0	0	1	8	5	1	1
21	Armory/Key Control	0	0	1	8	5	1	1
22	Training Sergeant	0	0	1	8	5	1	1
23	Prison Industries	0	0	3	10	4	1	3
	<b>Sub-total</b>	<b>17</b>	<b>11</b>	<b>8</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>77.16</b>
Front-Line								
Core Posts								
24	Outer Perimeter Patrol	1	1	0	12	7	2.47	4.94
25	Main Control U/L	2	2	0	12	7	2.47	9.88
26	Front Gate	1	1	0	12	7	2.47	4.94
27	Tower - Victor 2	1	1	0	12	7	2.47	4.94
28	Tower - Victor 3	1	1	0	12	7	2.47	4.94
29	Tower - Victor 1	1	1	0	12	7	2.47	4.94
30	RHU Control U/L	2	2	0	12	7	2.47	9.88
31	RHU Wing U/L	6	4	0	12	7	2.47	24.7
32	RHU Recreation U/L	0	0	2	8	5	1.29	2.58
33	GP Housing (11 Units)	22	11	0	12	7	2.47	81.51
34	Housing Floaters U/L	0	6	0	12	7	2.47	14.82
35	Yard Officer	2	2	0	12	7	2.47	9.88
36	Yard Gate	0	0	1	8	5	1.29	1.29
37	Vehicle Gate	1	0	0	12	7	2.47	2.47
38	Inmate Medical Escort	0	0	2	8	5	1.29	2.58
39	Transportation	0	0	6	8	5	1.29	7.74
40	Visitation	0	0	3	8	2.5	0.645	1.935
41	Medical	0	0	2	8	5	1.29	2.58
42	Front Gate	0	0	1	8	5	1.29	1.29
	<b>Sub-total</b>	<b>40</b>	<b>32</b>	<b>17</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>197.84</b>
Operations								
43	Property Control	0	0	1	8	5	1.29	1.29
44	Contraband/Intelligence	0	0	3	8	5	1	3
45	Kitchen/Dock 2 (staggered)	0	0	4	8	5	1.29	5.16
46	Cafeteria	0	0	0	12	7	2.47	4.94
47	Education	0	0	2	8	5	1.29	2.58
48	Inmate Escort	0	0	2	8	5	1.29	2.58
49	Security Relief	3	2	0	12	7	2	10
50	Grounds Maintenance LY	0	0	1	8	5	1	1
51	Grounds Maintenance UY	0	0	1	8	5	1	1
52	Perimeter Station - V4	1	1	0	12	7	2.47	4.94
53	Prison Industries	0	0	1	10	4	1	1
	<b>Sub-total</b>	<b>6</b>	<b>3</b>	<b>15</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>37.49</b>
	<b>Overall Total</b>	<b>70</b>	<b>51</b>	<b>49</b>				<b>170</b>
	<b>Total Staff Required</b>							<b>350.77</b>

Post	SRF	#
12 hr. 24/7 R	4.94	84
12-hr. 24/7 NR	2	6
12-hr. 7-day R	2.47	32
12 hr. 7-day NR	2	1
10 hr. 4-day NR	1	4
8-hr. 5-day R	1.29	25
8-hr. 5-day NR	1	15
8-hr. 2.5 day R		3
<b>Total Posts</b>		<b>170</b>
Position		#
Major		1
Captain		5
Lieutenant		32
Sergeant		77
Front-Line		235
<b>Total Staff</b>		<b>350</b>

SCDC - Leath Correctional Institution - Security Staff Recommendation								
Post	LEATH CI	Shift			Frequency			
#	Title	12-D	12-N	M-F/O	Hours	Days	Relief	Total
Command Staff								
1	Major	0	0	1	8	5	1	1
3	Shift Captain	1	1	0	12	7	2	4
4	Shift Lieutenant	1	1	0	12	7	2.56	5.12
5	Yard Lieutenant	1	1	0	12	7	2.56	5.12
7	Housing Zone Lieutenant	1	1	0	12	7	2.56	5.12
8	Security/RHU Lieutenant	0	0	1	8	5	1	1
9	EHSO Lieutenant	0	0	1	8	5	1	1
10	Compliance Lieutenant	0	0	1	8	5	1	1
11	Training Lieutenant	0	0	1	8	5	1	1
	<b>Sub-total</b>	<b>4</b>	<b>4</b>	<b>5</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>24.36</b>
Sergeants								
12	Shift Sergeant	1	1	0	12	7	2.56	5.12
13	Housing Sergeant	3	2	0	12	7	2.56	12.8
14	Transportation Sergeant	0	0	1	8	5	1	1
15	Front-End Sergeant	1	0	0	12	7	2.56	2.56
16	Contraband Sergeant	0	0	1	8	5	1	1
17	RHU Sergeant	1	1	0	12	7	2.56	5.12
18	Yard Sergeant	1	1	0	12	7	2.56	5.12
19	Armory/Key Control	0	0	1	8	5	1	1
20	Reynolds Housing	1	0	0	12	7	2.56	2.56
21	Phoenix Housing	1	0	0	12	7	2.56	2.56
	<b>Sub-total</b>	<b>9</b>	<b>5</b>	<b>3</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>38.84</b>
Front-Line								
Core Posts								
22	Outer Perimeter Patrol	1	1	0	12	7	2.56	5.12
23	Main Control	1	1	0	12	7	2.56	5.12
24	Yard	1	1	0	12	7	2.56	5.12
25	RHU Wing	1	1	0	12	7	2.56	5.12
26	Housing Unit (4 units)	4	4	0	12	7	2.56	20.48
27	Phoenix MH Outpatient	3	2	0	12	7	2.56	12.8
28	Front Lobby/Shakedown	1	0	0	12	7	2.56	2.56
29	Transportation	0	0	6	8	5	1.32	7.92
30	Medical/Pill Line	1	0	0	12	7	2.56	2.56
31	Reynolds Wing	2	2	0	12	7	2.56	10.24
32	Visitation	0	0	2	8	5	0.66	1.32
	<b>Sub-total</b>	<b>15</b>	<b>12</b>	<b>8</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>78.36</b>
Operations								
33	Inmate Escort	0	0	1	8	5	1.32	1.32
34	Re-Cycle	0	0	1	8	5	1.32	1.32
35	Property Control	0	0	1	8	5	1.32	1.32
36	Contraband/Intelligence	0	0	2	8	5	1	2
37	Chapel	0	0	1	8	5	1.32	1.32
38	Cafeteria	1	0	0	12	7	2.56	2.56
39	Education	0	0	1	8	5	1.32	1.32
40	Maintenance Area	0	0	1	8	5	1.32	1.32
41	Security Relief	1	1	0	12	7	2	4
42	Grounds	0	0	1	8	5	1	1
43	Prison Industries	0	0	1	10	4	1	1
	<b>Sub-total</b>	<b>2</b>	<b>1</b>	<b>10</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>18.48</b>
	<b>Overall Total Posts</b>	<b>30</b>	<b>22</b>	<b>27</b>				<b>79</b>
	<b>Total Staff Required</b>							<b>160.04</b>

Post	SRF	#
12 hr. 24/7 R	5.12	42
12 hr. 24/7 NR	2	2
12 hr. 7-day R	2.56	8
12 hr. 7-day NR	2	0
10 hr. 4-day NR	1	1
8 hr. 5-day NR	1	12
8 hr. 5-day R	1.32	12
8 hr. 2.5 day R	0.66	2
<b>Total</b>		<b>79</b>

Position	#
Major	1
Captain	4
Lieutenant	19
Sergeant	39
Front-Line	97
<b>Total</b>	<b>160</b>



SCDC - Lieber Correctional Institution - Security Staff Recommendation								
Post	Lieber CI	Shift			Frequency			
#	Title	12-D	12-N	M-F/O	Hours	Days	Relief	Total
Command Staff								
1	Major	0	0	1	8	5	1	1
2	Administrative Captain	0	0	1	8	5	1	1
3	Shift Captain	1	1	0	12	7	2	4
4	Security Captain	0	0	1	8	5	1	1
5	Shift Lieutenant	1	1	0	12	7	2.52	5.04
6	Yard Lieutenant	2	1	0	12	7	2.52	7.56
7	RHU Lieutenant	1	1	0	12	7	2.52	5.04
8	Housing Lieutenant	5	2	0	12	7	2.52	17.64
9	EHSO Lieutenant	0	0	1	8	5	1	1
10	Contraband Lt.	0	0	1	8	5	1	1
11	Transportation Lieutenant	0	0	1	8	5	1	1
12	Training Lieutenant	0	0	1	8	5	1	1
13	Compliance Lieutenant	0	0	1	8	5	1	1
	<b>Sub-total</b>	<b>10</b>	<b>6</b>	<b>8</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>47.28</b>
Sergeants								
14	Shift Sergeant	1	1	0	12	7	2.52	5.04
15	Housing Sergeant	5	5	0	12	7	2.52	25.2
16	Front-End Sergeant	1	1	0	12	7	2.52	4.85
17	RHU Sergeant	2	2	0	12	7	2.52	10.08
18	Yard Sergeant	2	1	0	12	7	2.52	7.56
19	Front-Gate	1	0	0	12	7	2.52	2.52
20	Transportation Sergeant	0	0	1	8	5	1	1
21	Contraband Sergeant	0	0	1	8	5	1	1
22	Training Sergeant	0	0	1	8	5	1	1
23	Armory/Key Control	0	0	1	8	5	1	1
24	Operations - L-Bldg.	0	0	1	8	5	1	1
	<b>Sub-total</b>	<b>12</b>	<b>10</b>	<b>5</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>60.25</b>
Front-Line								
Core Posts								
25	Outer Perimeter Patrol	2	2	0	12	7	2.52	10.08
26	Main Control	2	1	0	12	7	2.52	7.56
27	Wando Control	1	1	0	12	7	2.52	5.04
28	RHU Control	2	2	0	12	7	2.52	10.08
29	Front Gate	1	1	0	12	7	2.52	5.04
30	GP Housing (4 units)	16	12	0	12	7	2.52	70.56
31	Wando Wing	4	2	0	12	7	2.52	15.12
32	RHU Wing	6	6	0	12	7	2.52	30.24
33	Yard	1	1	0	12	7	2.52	5.04
34	Access Gate	1	0	0	12	7	2.52	2.52
35	Back Gate	1	1	0	12	7	2.52	5.04
36	RHU Recreation	0	0	4	8	5	1.3	5.2
37	RHU Escort	0	0	2	8	5	1.3	2.6
38	Transportation	0	0	8	8	5	1.3	10.4
39	Vehicle Gate	1	0	0	12	7	2.52	2.52
40	Visitation	0	0	3	8	2.5	0.65	1.95
41	Cafeteria	2	0	0	12	7	2.52	5.04
42	Medical (5a-1p) (1p-9p)	0	0	2	8	5	1.3	2.6
43	Inmate Medical Escort	0	0	2	8	5	1.3	2.6
44	Front Gate Shakedown	0	0	1	8	5	1.3	1.3
	<b>Sub-total</b>	<b>40</b>	<b>29</b>	<b>22</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>200.53</b>
Operations								
45	Security Relief	3.5	2.5	0	12	7	2	12
46	Kitchen/Dock (staggered)	0	0	2	8	5	1.3	2.6
47	Property Control	0	0	1	8	5	1.3	1.3
48	Contraband/Intelligence	0	0	4	8	5	1	4
49	Operations/Transition	0	0	1	8	5	1.3	1.25
50	Grounds Maintenance	0	0	2	8	5	1	2
51	Tool Room	0	0	1	8	5	1.3	1.25
52	Education/Library	0	0	2	8	5	1.3	2.6
53	Inmate Escort	0	0	2	8	5	1.3	2.6
54	PI Gate	0	0	1	10	4	1	1
55	New Towers	3	3	0	12	7	2.52	15.12
56	Prison Industries	0	0	2	10	4	1	2
	<b>Sub-total</b>	<b>6.5</b>	<b>5.5</b>	<b>18</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>47.72</b>
	<b>Overall Total Posts</b>	<b>68.5</b>	<b>50.5</b>	<b>53</b>				<b>172</b>
	<b>Total Staff Required</b>							<b>355.78</b>

Post	SRF	#
12-hr. 24/7 relief	5.04	96
12 hr. 24/7 no relief	2	8
12-hr. 7 day relief	2.52	17
12-hr. 7-day no relief	2	1
10-hr. 4 day no relief	1	2
8-hr. 5 day relief	1.3	26
8-hr. 5-day no relief	1	19
8-hr. 2.5 day relief	0.65	3
<b>Total Posts</b>		<b>172</b>

Position	#
Major	1
Captain	6
Lieutenant	40
Sergeant	60
Front-Line	248
<b>Total</b>	<b>355</b>



SCDC - Perry Correctional Institution - Recommendation								
Post	Perry CI	Shift			Frequency			
#	Title	12-D	12-N	M-F/O	Hours	Days	Relief	Total
Command Staff								
1	Major	0	0	1	8	5	1	1
2	Administrative Captain	0	0	1	8	5	1	1
3	Shift Captain	1	1	0	12	7	2	4
4	Security Captain	0	0	1	8	5	1	1
5	Shift Lieutenant	1	1	0	12	7	2.515	5.03
6	Yard Lieutenant	2	1	0	12	7	2.515	7.545
7	RHU Lieutenant	1	1	0	12	7	2.515	5.03
9	Housing Lieutenant	4	2	0	12	7	2.515	15.09
10	Transportation Lieutenant	0	0	1	8	5	1	1
11	EHSO Lieutenant	0	0	1	8	5	1	1
12	Contraband Lieutenant	0	0	1	8	5	1	1
13	Training Lieutenant	0	0	1	8	5	1	1
14	Compliance Lieutenant	0	0	1	8	5	1	1
	Sub-total	9	6	8	NA	NA	NA	44.695
Sergeants								
15	Shift Sergeant	1	1	0	12	7	2.515	5.03
16	GP Housing Sergeant	4	4	0	12	7	2.515	20.12
17	Yard Sergeant	2	2	0	12	7	2.515	10.06
18	Front-End Sergeant	1	1	0	12	7	2.515	5.03
19	RHU Sergeant	4	2	0	12	7	2.515	15.09
20	Contraband Sergeant	0	0	1	8	5	1	1
21	Transportation Sergeant	0	0	1	8	5	1	1
22	Armory/Key Control	0	0	1	8	5	1	1
23	Training Sergeant	0	0	1	8	5	1	1
	Sub-total	12	10	4	NA	NA	NA	59.33
Front-Line								
Core Posts								
24	Front Gate	1	1	0	12	7	2.515	5.03
25	Outer Perimeter Patrol	1	1	0	12	7	2.515	5.03
26	Main Control	2	1	0	12	7	2.515	7.545
27	Yard	1	1	0	12	7	2.515	5.03
28	RHU Control (4 units)	4	4	0	12	7	2.515	20.12
29	RHU Wing (4 units)	12	8	0	12	7	2.515	50.3
30	RHU Recreation/Shower	0	0	4	8	5	1.3	5.2
31	GP Housing (4 Units)	14	10	0	12	7	2.515	60.36
32	ALU	1	1	0	12	7	2.515	4.98
33	Access Gate	1	0	0	12	7	2.515	2.515
34	Medical	0	0	1	8	5	1.3	1.3
35	Visitation	0	0	3	8	2.5	0.64	1.92
36	Transportation - (1) Driver	0	0	10	8	5	1.3	13
37	Towers	2	2	0	12	7	2.515	10.06
38	RHU Escort	0	0	2	8	5	1.3	2.6
39	Inmate Medical Escort	0	0	2	8	5	1.3	2.6
	Sub-total	39	29	22	NA	NA	NA	197.59
Operations								
40	Front Lobby	1	0	0	12	7	2.515	2.515
41	Vehicle Gate	1	0	0	12	7	2.515	2.515
42	Kitchen/Dock (staggered)	0	0	2	8	5	1.3	2.6
43	Cafeteria	1	0	0	12	7	2.515	2.515
44	Security Relief	3	2	0	12	7	2	10
45	Property Control	0	0	1	8	5	1.3	1.3
46	Contraband/Intelligence	0	0	4	8	5	1	4
47	Education	0	0	1	8	5	1.3	1.3
48	Inmate Escort	0	0	2	8	5	1.3	2.6
49	Grounds Maintenance	0	0	2	8	5	1	2
51	Tool Room	0	0	1	8	5	1.3	1.3
52	Prison Industries	0	0	1	8	5	1	1
53	Library	0	0	1	8	5	1.3	1.28
54	Front Gate Shakedown	0	0	1	8	5	1.3	1.28
55	Bus Transportation	0	0	2	8	5	1	2
	Sub-total	6	2	18	NA	NA	NA	38.205
	Overall Total Posts	66	47	52	NA	NA	NA	165
	Total Staff Required							339.82

Post	SRF	#
12-hr. 24/7 R	5.03	88
12-hr. 24/7 NR	2	7
12-hr. 7-day R	2.52	18
8-hr. 5 day R	1.3	28
8-hr. 5 day NR	1	21
8-hr. 2.5 day R	0.65	3
<b>Total Posts</b>		<b>165</b>

Positions	#
Major	1
Captain	6
Lieutenant	38
Sergeant	59
Front-Line	236
<b>Total Staff</b>	<b>340</b>

Post #	LEE CI Title	Shift			Frequency			
		12-D	12-N	M-F/O	Hours	Days	Relief	Total
<b>Command Staff</b>								
1	Major	0	0	1	8	5	1	1.00
2	Administrative Captain	0	0	1	8	5	1	1.00
3	Shift Captain	1	1	0	12	7	2	4.00
4	Security Captain	0	0	1	8	5	1	1.00
5	Shift Lieutenant	1	1	0	12	7	2.57	5.13
6	Yard Lieutenant	2	1	0	12	7	2.57	7.70
7	RHU Lieutenant	1	1	0	12	7	2.57	5.13
8	Housing Zone Lt.	6	2	0	12	7	2.57	20.52
9	Transportation Lt.	0	0	1	8	5	1	1.00
10	Contraband Lieutenant	0	0	1	8	5	1	1.00
11	EHSO Lieutenant	0	0	1	8	5	1	1.00
12	Compliance Lieutenant	0	0	1	8	5	1	1.00
13	Training Lieutenant	0	0	1	8	5	1	1.00
	<b>Sub-total</b>	<b>11</b>	<b>6</b>	<b>8</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>50.48</b>
<b>Sergeants</b>								
14	Shift Sergeant	1	1	0	12	7	2.57	5.13
15	Housing Sergeant	6	6	0	12	7	2.57	30.78
16	Transportation Sergeant	0	0	1	8	5	1	1.00
17	Front-End Sergeant	1	1	0	12	7	2.57	5.13
18	Contraband/Intel Sgt.	0	0	2	8	5	1	2.00
19	RHU Sergeant	2	2	0	12	7	2.57	10.26
20	Yard Sergeant	2	2	0	12	7	2.57	10.26
21	Armory/Key Control	0	0	1	8	5	1	1.00
22	Training Sergeant	0	0	1	8	5	1	1.00
	<b>Sub-total</b>	<b>12</b>	<b>12</b>	<b>5</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>66.56</b>
<b>Front-Line</b>								
<b>Core Posts</b>								
23	Outer Perimeter Patrol	1	1	0	12	7	2.57	5.13
24	Main Control	1	1	0	12	7	2.57	5.13
25	Yard	2	2	0	12	7	2.57	10.26
26	Front Gate	1	1	0	12	7	2.57	5.13
27	Plaza Gate	1	0	0	12	7	2.57	2.57
28	RHU Control	2	2	0	12	7	2.57	10.26
29	RHU Center Control	1	1	0	12	7	2.57	5.13
30	GP Housing Control	1	1	0	12	7	2.57	5.13
31	Infirmary	1	1	0	12	7	2.57	5.13
32	RHU Wing	6	4	0	12	7	2.57	25.65
33	Housing Unit - West	11	8	0	12	7	2.57	48.74
34	Housing Unit - East	11	8	0	12	7	2.57	48.74
35	RHU Escort	0	0	2	8	5	1.32	2.64
36	RHU Recreation	0	0	2	8	5	1.32	2.64
37	Back Gate	1	1	0	12	7	2.57	5.13
38	Front Gate Shakedown	1	0	0	12	7	2.57	2.57
39	Inmate Medical Escort	0	0	2	8	5	1.32	2.64
40	Transportation/Hospital	0	0	10	8	5	1.32	13.20
41	Visitation	0	0	3	8	2.5	0.66	1.98
42	Medical	0	0	1	8	5	1.32	1.32
	<b>Sub-total</b>	<b>41</b>	<b>31</b>	<b>20</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>209.10</b>
<b>Operations</b>								
43	DHO Recorder	0	0	1	8	5	1	1.00
44	Property Control	0	0	1	8	5	1	1.00
45	Contraband/Intelligence	0	0	3	8	5	1	3.00
46	Kitchen/Dock (staggered)	0	0	2	8	5	1.32	2.62
47	Cafeteria	2	0	0	12	7	2.57	5.13
48	Education/Library	0	0	1	8	5	1.32	1.32
49	Inmate Escort	2	2	0	12	7	2.57	10.26
50	Maintenance/Tools	0	0	1	8	5	1	1.00
51	Grounds Maintenance	0	0	1	8	5	1	1.00
52	Security/Relief	4	3	0	12	7	2	14.00
53	Outer Perimeter Patrol	0	1	0	12	7	2.57	2.57
54	Plaza Gate	0	1	0	12	7	2.57	2.57
55	Holding Cell Officer	0	0	1	8	5	1.32	1.32
56	Prison Industries	0	0	2	10	4	1	2.00
	<b>Sub-total</b>	<b>8</b>	<b>7</b>	<b>13</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>48.78</b>
	<b>Overall Total Posts</b>	<b>72</b>	<b>56</b>	<b>46</b>				<b>174</b>
	<b>Total Staff Required</b>							<b>374.92</b>

Post	SRF	#
12-hr. 24/7 R	5.13	100
12-hr. 24/7	2	8
12-hr. 7-day R	2.57	19
12-hr. 7-day	2	0
10-hr. 4-day	1	2
8-hr. 5-day R	1.32	23
8-hr. 5-day	1	19
8-hr. 2.5-day R	0.66	3
<b>Total Posts</b>		<b>174</b>

Position	#
Major	1
Captain	6
Lieutenant	43
Sergeant	67
Front-Line	258
<b>Total</b>	<b>375</b>

SCDC - Broad River Correctional Institution - Security Staff Recommendation								
Post	BROAD RIVER CI	Shift			Frequency		Relief	Total
#	Title	12-D	12-N	M-F/O	Hours	Days		
Command Staff								
1	Major	0	0	1	8	5	1	1
2	Administrative Captain	0	0	1	8	5	1	1
3	Shift Captain	1	1	0	12	7	2	4
4	Security Captain	0	0	1	8	5	1	1
5	Shift Lieutenant	1	1	0	12	7	2.0	4.00
6	Yard Lieutenant/Responder	2	1	0	12	7	2.5	7.55
7	RHU Lieutenant	1	1	0	12	7	2.5	5.03
8	Housing Zone Lieutenant	5	2	0	12	7	2.5	17.61
9	CSU-Lieutenant	1	0	0	12	7	2.5	2.52
10	Transportation Lieutenant	0	0	1	8	5	1	1
11	Training Lieutenant	0	0	1	8	5	1	1
12	EHSO Lieutenant	0	0	1	8	5	1	1
13	Contraband Lieutenant	0	0	1	8	5	1	1
14	Compliance Lieutenant	0	0	1	8	5	1	1
	<b>Sub-total</b>	<b>11</b>	<b>6</b>	<b>8</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>48.70</b>
Sergeants								
15	Shift Sergeant	1	1	0	12	7	2.5	5.03
16	Housing Sergeant	5	5	0	12	7	2.5	25.15
17	Transportation Sergeant	0	0	1	8	5	1	1
18	Front-End Sergeant	1	1	0	12	7	2.5	5.03
19	Contraband Sergeant	0	0	1	8	5	1	1
20	RHU Sergeant	1	1	0	12	7	2.5	5.03
21	Yard Sergeant/Responder	2	1	0	12	7	2.5	7.55
22	Greenwood-Sergeant	1	1	0	12	7	2.5	5.03
23	Front Gate Sergeant	1	1	0	12	7	2.5	5.03
24	Compliance Sergeant - RHU	0	0	1	8	5	1	1
25	Armory/Key Control	0	0	1	8	5	1	1
26	Training Sergeant	0	0	1	8	5	1	1
	<b>Sub-total</b>	<b>12</b>	<b>11</b>	<b>5</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>62.85</b>
Front-Line								
Core Posts								
27	Outer Perimeter Patrol	1	1	0	12	7	2.5	5.03
28	Main Control	2	1	0	12	7	2.5	7.55
29	Yard	1	1	0	12	7	2.5	5.03
30	RHU Control	1	1	0	12	7	2.5	5.03
31	RHU Wing - Lock Up	3	2	0	12	7	2.5	12.58
32	RHU Recreation	0	0	2	8	7	1.82	3.64
33	RHU Escort	0	0	2	8	5	1.3	2.6
34	RHU Wing - Safekeeping	1	1	0	12	7	2.5	5.03
35	CSU Wing	3	2	0	12	7	2.5	12.58
36	CSU Recreation/Support	0	0	1	8	5	1.3	1.3
37	CSU Escort/Support	1	0	0	12	7	2.5	2.52
38	Greenwood Non-CSU Wing	2	2	0	12	7	2.5	10.06
39	GP Housing (5 Units)	20	14	0	12	7	2.5	85.51
40	Access Gate	1	0	0	12	7	2.5	2.52
41	Front Gate	2	1	0	12	7	2.5	7.55
42	Dialysis	1	0	0	12	7	2.5	2.52
43	Vehicle Gate	1	0	0	12	7	2.5	2.52
44	Outside Hospital	5	5	0	12	7	2.5	25.15
45	Cafeteria	2	0	0	12	7	2.5	5.03
46	Inmate Medical Escort	0	0	2	8	5	1.3	2.6
47	Medical (staggered starting)	0	0	2	8	5	1.3	2.6
48	Transportation	0	0	8	8	5	1.3	10.4
49	Visitation	0	0	3	8	2.5	0.65	1.95
	<b>Sub-total</b>	<b>47</b>	<b>31</b>	<b>20</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>221.26</b>
Operations								
50	RHU L Control	1	1	0	12	7	2.5	5.03
51	RHU Wagon Wheel	1	1	0	12	7	2.5	5.03
52	Security Relief	2.5	2.5	0	12	7	2	12
53	Moultrie Medical	0	0	1	8	5	1.3	1.29
54	Multi-Purpose	0	0	1	8	5	1.3	1.29
55	Property Control	0	0	1	8	5	1.3	1.3
56	Contraband/Intelligence	0	0	4	8	5	1	4
57	Inmate Escort	0	0	2	8	5	1.3	2.6
58	Grounds	0	0	2	8	5	1	2
59	Tool Room	0	0	1	8	5	1.3	1.3
60	Kitchen/Dock (staggered)	0	0	2	8	5	1.3	2.60
61	Education	0	0	1	8	5	1.3	1.3
62	Outside Maintenance	0	0	1	8	5	1	1
63	Library	0	0	1	8	5	1.3	1.3
64	Prison Industries	0	0	1	10	4	1	1
	<b>Sub-total</b>	<b>5.5</b>	<b>4.5</b>	<b>18</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>43.04</b>
	<b>Overall Total Posts</b>	<b>75.5</b>	<b>52.5</b>	<b>51</b>				<b>179</b>
	<b>Total Staff Required</b>							<b>375.84</b>

Post	SRF	#
12 hr. 24/7 R	5.03	98
12 hr. 24/7 NR	2	7
12-hr. 7 day R	2.51	22
12-hr. 7 day NR	2	1
10 hr. 4 day NR	1	1
8-hr. 7-day R	1.82	2
8-hr. 5 day R	1.3	25
8-hr. 5 day NR	1	20
8-hr. 2.5 day R	0.65	3
<b>Total Posts</b>		<b>179</b>

Position	#
Major	1
Captain	6
Lieutenant	42
Sergeant	63
Front-Line	264
<b>Total</b>	<b>376</b>

SCDC - Kirkland Correctional Institution - Security Staff Recommendation								
Post	KIRKLAND CI	Shift			Frequency			
#	Title	12-D	12-N	M-F/O	Hours	Days	Relief	Total
Command Staff								
1	Major	0	0	1	8	5	1	1
2	Administrative Captain	0	0	1	8	5	1	1
3	Shift Captain	1	1	0	12	7	2	4
4	Condemned Unit Captain	0	0	1	8	5	1	1
5	Security Captain	0	0	1	8	5	1	1
6	Shift Lieutenant	1	1	0	12	7	2.56	5.12
7	Yard Lieutenant/Responder	2	1	0	12	7	2.56	7.68
8	Housing Zone Lieutenant	2	2	0	12	7	2.56	10.24
9	Max Unit Housing Lieutenant	1	1	0	12	7	2.56	5.12
10	Outside Hospital Lieutenant	1	1	0	12	7	2.56	5.12
11	Gilliam Housing Lieutenant	1	0	0	12	7	2.56	2.56
12	BMU/RHU Housing Lieutenant	1	0	0	12	7	2.56	2.56
13	ICS Zone Lieutenant	1	0	0	12	7	2.56	2.56
14	R & E Lieutenant	0	0	1	8	5	1.32	1.32
15	EHSO Lieutenant	0	0	1	8	5	1	1
16	Compliance Lieutenant	0	0	1	8	5	1	1
17	Transportation Lieutenant	0	0	1	8	5	1	1
18	Training Lieutenant	0	0	1	8	5	1	1
19	Contraband Lieutenant	0	0	1	8	5	1	1
	<b>Sub-total</b>	<b>11</b>	<b>7</b>	<b>10</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>55.28</b>
Sergeants								
20	Shift Sergeant	1	1	0	12	7	2.56	5.12
21	Housing Sergeant	8	8	0	12	7	2.56	40.96
22	ICS Sergeant	1	1	0	12	7	2.56	5.12
23	Front End Sergeant	1	1	0	12	7	2.56	5.12
24	Max Unit Sergeant	2	1	0	12	7	2.56	7.68
25	Gilliam Sergeant	1	1	0	12	7	2.56	5.12
26	BMU/RHU Sergeant	1	1	0	12	7	2.56	5.12
27	RHU Sergeant	1	0	0	12	7	2.56	2.56
28	Yard Sergeant/Responder	2	1	0	12	7	2.56	7.68
29	Front Gate Armory	1	1	0	12	7	2.56	5.12
30	R & E Sergeant	0	0	1	8	5	1.32	1.32
31	Training Sergeant	0	0	1	8	5	1	1
32	Contraband Sergeant	0	0	1	8	5	1	1
33	Transportation Sergeant	0	0	1	8	5	1	1
34	Armory/Key Control	0	0	1	8	5	1	1
35	Visitation	0	0	1	8	2.5	0.66	0.66
	<b>Sub-total</b>	<b>19</b>	<b>16</b>	<b>6</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>95.58</b>

Post	SRF	#
12-hr. 24/7 relief	5.12	142
12-hr. 24/7 no relief	2	8
12-hr. 7 day relief	2.56	24
12-hr. 7 day no relief	2	2
8-hr. 7 day relief	1.85	0
8-hr. 5 day relief	1.32	51
8-hr. 5 day no relief	1	19
8-hr. 2.5 day relief	0.66	3
<b>Total Posts</b>		<b>249</b>

Position	#
Major	1
Captain	7
Lieutenant	47
Sergeant	96
Front-Line	382
<b>Total</b>	<b>533</b>

Kirkland Front-Line Post Assignments Continued on Next Page.

Front-Line								
<i>Core Posts</i>								
36	Outer Perimeter Patrol	1	1	0	12	7	2.56	5.12
37	Main Control	2	2	0	12	7	2.56	10.24
38	Yard	1	1	0	12	7	2.56	5.12
39	Front Gate	2	1	0	12	7	2.56	7.68
40	YOIS Escort	1	0	0	12	7	2.56	2.56
41	Back Gate	2	1	0	12	7	2.56	7.68
42	Infirmary	1	1	0	12	7	2.56	5.12
43	Outside Hospital	6	6	0	12	7	2.56	30.72
44	Inmate Escort	2	1	0	12	7	2.56	7.68
45	BMU/RHU Control	1	1	0	12	7	2.56	5.12
46	BMU Wing	3	2	0	12	7	2.56	12.8
47	BMU Escort/Program Support	0	0	1	8	5	1.32	1.32
48	BMU Recreation/Support	0	0	1	8	5	1.32	1.32
49	GPH Control	1	1	0	12	7	2.56	5.12
50	GPH Wing	4	3	0	12	7	2.56	17.92
51	GPH Recreation	0	0	2	8	5	1.32	2.64
52	GPH Escort/Program Support	0	0	2	8	5	1.32	2.64
53	Max Unit Control	1	1	0	12	7	2.56	5.12
54	Max Unit Wing	3	3	0	12	7	2.56	15.36
55	Max Unit Escort	2	0	0	12	7	2.56	5.12
56	Max Unit Recreation	0	0	2	8	5	1.32	2.64
57	Housing (6 units)	12	9	0	12	7	2.56	53.76
58	E-Dorm	2	2	0	12	7	2.56	10.24
59	F-1A Wing (R & E)	2	2	0	12	7	2.56	10.24
60	F-1B High Risk (ICS)	3	2	0	12	7	2.56	12.8
61	F-2 (ICS) (2 Wings)	4	3	0	12	7	2.56	17.92
62	F-3	3	2	0	12	7	2.56	12.8
63	RHU Wing	2	2	0	12	7	2.56	10.24
64	RHU Recreation	0	0	2	8	5	1.32	2.64
65	Operations	1	0	0	12	7	2.56	2.56
66	Cafeteria	2	0	0	12	7	2.56	5.12
67	Outpatient Clinic/Infirmary	0	0	2	8	5	1.32	2.64
68	Transportation	0	0	14	8	5	1.32	18.48
69	R & E Processing	0	0	8	8	5	1.32	10.56
70	R & E Escort	0	0	4	8	5	1.32	5.28
71	Inmate Medical Escort	0	0	2	8	5	1.32	2.64
72	Visitation	0	0	2	8	2.5	0.66	1.32
	<b>Sub-total</b>	<b>64</b>	<b>47</b>	<b>42</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>338.28</b>
<i>Operations</i>								
73	Property Control	0	0	2	8	5	1.32	2.64
74	Contraband/Intelligence	0	0	3	8	5	1	3
75	Kitchen/Dock (staggered)	0	0	2	8	5	1.32	2.64
76	Annex	0	0	2	0	5	1.32	2.64
77	Gilliam Security Entrance	1	1	0	12	7	2.56	5.12
78	Max Unit Security Entrance	1	1	0	12	7	2.56	5.12
79	Security Relief	5	3	0	12	7	2	16
80	Grounds/Horticulture	0	0	2	8	5	1	2
81	DHO Officer	0	0	1	8	5	1	1
82	Law Library	0	0	1	8	5	1.32	1.32
83	Mail room	0	0	1	8	5	1.32	1.32
84	Shakedown Officer	0	0	1	8	5	1.32	1.32
	<b>Sub-total</b>	<b>7</b>	<b>5</b>	<b>15</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>44.12</b>
	<b>Overall Total Posts</b>	<b>101</b>	<b>75</b>	<b>73</b>				<b>249</b>
	<b>Total Staff Required</b>							<b>533.26</b>